

CHANGEU.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

8100.7A CHG 4

5/24/02

SUBJ: AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP)

1. PURPOSE. This change is issued to reflect the implementation of revised certificate management guidance. As a result, certain guidance and procedures such as resource targeting and CAA notification procedures that were specific to ACSEP have now been made a part of the overall certificate management program and are documented in FAA Order 8120.2, Production Approval and Certificate Management Procedures. This change also incorporates items recommended by the various Directorate Continuous Improvement Teams (DCIT), through the National Continuous Improvement Team (NCIT), and other items as a direct result of special technical audits conducted by the FAA.

2. DISTRIBUTION. This order is distributed to Washington headquarters branch levels of the Aircraft Certification Service; to the branch level in the regional Aircraft Certification divisions; to all Aircraft Certification Service offices; to the Suspected Unapproved Parts Program Office; to the Aircraft Certification branch at the FAA Academy; to the Regulatory Support Division of the Flight Standards Service; and to the Brussels Aircraft Certification Division.

3. DISPOSITION OF TRANSMITTAL. After filing the attached pages, this change transmittal should be retained.

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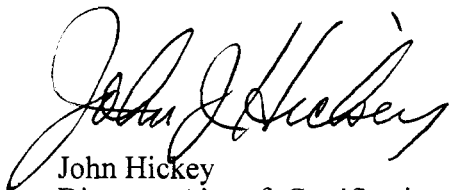
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3-6	9/30/99	3-6	5/24/02
13	9/30/99	13	9/30/99
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39-40	9/30/99	39-40	5/24/02
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Appendix 12, pages 1-2	9/30/99	Appendix 12, pages 1-2	5/24/02
Appendix 14, page 117	9/30/99	Appendix 14, page 117	9/30/99
Appendix 14, pages 118-119 (and 120)	9/30/99	Appendix 14, pages 118-119 (and 120)	5/24/02
Appendix 16, page 1	9/30/99	Appendix 16, page 1	9/30/99
Appendix 16, pages 2-4	9/30/99	Appendix 16, pages 2-4	5/24/02
Appendix 17, page 1	9/30/99	Appendix 17, page 1	5/24/02
Appendix 17, page 2	9/30/99	Appendix 17, page 2	9/30/99
Appendix 18, pages 1-3 (and 4)	9/30/99	Appendix 18, pages 1-4	5/24/02
Appendix 22, pages 1-3 (and 4)	9/30/99	Appendix 22, pages 1-3 (and 4)	5/24/02



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TABLE OF CONTENTS

CHAPTER 1. GENERAL

<i>Paragraph</i>	<i>Page</i>
1. Purpose.	1
2. Distribution.	1
3. Cancellation.	1
4. Explanation of Changes.	2
5. Definitions and Acronyms.	3
6. Requests for Information.	5
7. Forms.	5
8. Scope.	6
9. Assignment of ACSEP Project Coordinator.	6
10. Information Currency.	6
11–12. Reserved.	6
Figure 1–1. ACSEP Life Cycle Process.	7

CHAPTER 2. ACSEP EVALUATOR APPOINTMENT AND TRAINING

13. General.	9
14. Appointing Officials.	9
15. Criteria for Candidate Selection.	9
Figure 2–1. Criteria for Candidate Selection and Team Member Appointment.	10
16. Criteria for Appointment.	10
Figure 2–2. Criteria for Team Leader Appointment.	12
17. Review of Appointment.	14
18. Reinstatement of Evaluators Failing to Meet Appointment Review Criteria.	15
19–24. Reserved.	15

CHAPTER 3. WITHDRAWN—CHG 4.

*Paragraph**Page***CHAPTER 4. SELECTION AND SCHEDULING OF ACSEP EVALUATIONS**

40. ACSEP Evaluation Intervals.	23
41. Selection of Facilities to be Evaluated.	23
42. Scheduling of ACSEP Evaluations.	24
43. Selection of ACSEP Evaluators.	26
44. Aircraft Certification Service Joint Scheduling Committee.	30
45. Notification of Facilities to be Evaluated.	31
46. WITHDRAWN—CHG 4.	33
47. Modifications to Scheduled Evaluations.	33
48. Non-Scheduled ACSEP Evaluations.	33
49–54. Reserved.	34

CHAPTER 5. ACSEP EVALUATION PROCEDURES**SECTION 1. ACSEP EVALUATION PREPARATIONS**

55. Lead Evaluation Office.	39
56. ACO, MIO, MIDO and CMO Managers.	39
57. Evaluation Team Leader/Principal Evaluator.	39
58. Evaluation Team Member/Principal Evaluator.	42
59–64. Reserved.	42

SECTION 2. CONDUCT OF THE EVALUATION

65. Team Leader/Principal Evaluator Coordination with Facility Representative.	43
66. Pre-Evaluation Team Meeting.	43
67. Pre-Evaluation Conference.	43
68. Evaluation of System Elements.	44
69. Recording Findings and Observations.	45
70. Evaluation Meetings.	45
71. Post-Evaluation Conference.	49
72–79. Reserved.	50

SECTION 3. POST-EVALUATION ACTIVITIES

80. Preparing the ACSEP Evaluation Report.	57
81. Quality Review of the ACSEP Evaluation Report.	58
82. Sending the ACSEP Evaluation Report.	58
83. Requesting Corrective Action.	61
Figure 5–1. Process for Requesting Corrective Action.	62

<i>Paragraph</i>	<i>Page</i>
84. Corrective Action Follow-Up.	62
85. Other Actions Based on ACSEP Evaluation Report.	62
86. ACSEP Quality Improvement Program.	63
87. Record Retention.	63
88–94. Reserved.	63

CHAPTER 6. ACSEP NATIONAL DATABASE

95. Purpose.	67
96. Files.	67
97. Database Management.	67
98. Use of the Database.	68
99–105. Reserved.	68

APPENDIX 1. ACRONYMS (1 page)

- | **APPENDIX 2. WITHDRAWN—CHG 4.**
- | **APPENDIX 3. WITHDRAWN—CHG 4.**
- | **APPENDIX 4. WITHDRAWN—CHG 4.**

*Paragraph**Page***APPENDIX 5. WITHDRAWN—CHG 4.****APPENDIX 6. PREPARATION OF CLAUSES FOR CONTRACTS FOR SUPPORT SERVICES**

1. Purpose.	1
2. Sample Clauses and Attachment.	1
Figure 1. Sample Certificate Of Nondisclosure.	3

APPENDIX 7. PREPARATION OF NOTIFICATION LETTER TO PAH OR ASSOCIATE FACILITY

1. Purpose.	1
2. Sample Paragraphs.	1
Figure 1. Sample FAA Form 8100–7, ACSEP Evaluation Customer Feedback Report. ...	6

APPENDIX 8. PREPARATION OF NOTIFICATION LETTER TO A SATELLITE MMF UNDER SURVEILLANCE HAND-OFF PROCEDURES

1. Purpose.	1
2. Sample Paragraphs.	1

APPENDIX 9. PREPARATION OF NOTIFICATION LETTER TO A DELEGATED FACILITY

1. Purpose.	1
2. Sample Paragraphs.	1

APPENDIX 10. WITHDRAWN—CHG 4.**APPENDIX 11. WITHDRAWN—CHG 4.**

CHAPTER 1. GENERAL

1. PURPOSE. This order establishes and describes the Federal Aviation Administration (FAA) Aircraft Certification Systems Evaluation Program (ACSEP). This program is an element of certificate management (CM) which supports the FAA mission of continued operational safety. FAA Order 8120.2, Production Approval and Surveillance Procedures, defines the entire CM program. Other evaluations, audits or inspections may be required in accordance with directorate or headquarters directives.

This program is a vital element within the FAA mission of continued operational safety and is therefore excluded from the Department of Transportation's plan to reduce internal regulations by 50 percent. Figure 1-1 depicts the ACSEP life cycle process. The ACSEP is a comprehensive evaluation program that:

- a. Applies standardized systems evaluation to the continued integrity of the design data, subsequent to initial approval by the FAA or FAA-delegated representatives; to production activities at production approval holders (PAH), associate facilities, and their satellite manufacturer's maintenance facilities; and to design approval systems in place at delegated facilities. The ACSEP does not reevaluate the approval of previously approved data such as quality manuals and design data.
- b. Ascertains whether production approval holders, associate facilities, and delegated facilities are meeting the requirements of applicable Title 14, Code of Federal Regulations (CFR) and complying with procedures established to meet those requirements, including control of satellite MMF's.
- c. Surveys the application of standardized evaluation criteria not required by applicable CFR or FAA-approved data to identify national trends which may require development of new or revised regulations, policy, and guidance.
- d. Provides customer focus through the establishment of a database for analysis of evaluation results and for reporting of trends in continued operational safety upon which our customers may act.
- e. Provides continuous improvement through the continual evaluation of lessons learned and customer feedback reports, through the submittal of proposed improvements by our internal and external customers, and by the establishment of permanent continuous improvement teams.
- f. Provides for employee involvement by establishing and maintaining a professional staff of trained evaluators composed of aviation safety inspectors, aerospace engineers, and flight test pilots.

2. DISTRIBUTION. This order is distributed to Washington headquarters branch levels of the Aircraft Certification Service; to the branch level in the regional Aircraft Certification divisions; to all Aircraft Certification Service Offices; to the Aircraft Certification branch at the FAA Academy; to the Brussels Aircraft Certification Division; to the Suspected Unapproved Parts Program Office; and to the Flight Standards Service Regulatory Support Division.

3. CANCELLATION. FAA Order 8100.7, Aircraft Certification Systems Evaluation Program, dated March 30, 1994, is canceled.

4. EXPLANATION OF CHANGES. The following list identifies the significant changes contained in this revision:

- a. Evaluation of delegated facilities has been incorporated into ACSEP, whereas evaluation of suppliers has been removed.
- b. Risk assessment methodology has been incorporated through the application of a resource targeting model (chapter 3).
- c. Paragraph 1 more fully defines the purpose of ACSEP.
- d. Paragraphs 13 and 15 specify selection of engineers, flight test pilots, and aviation safety inspectors as candidates for appointment as ACSEP evaluators.
- e. Paragraph 14 summarizes the directorate and headquarters managers who are authorized to select and appoint ACSEP evaluator candidates.
- f. Paragraph 16 describes the role of the immediate supervisor in the team member/leader appointment process.
- g. Paragraph 43 authorizes performance of ACSEP evaluations by one person when warranted by specified criteria. It also details principal inspector and assigned engineer participation in ACSEP evaluations.
- h. Paragraph 44b clarifies responsibilities for changing the master schedule.
- i. Paragraph 57 clarifies the responsibilities for coordinating multiple evaluations at international locations.
- j. Paragraph 68 deletes reference to major systems and renames the subsystems as system elements.
- k. Paragraph 69 and appendix 13 define in greater detail the application of findings and observations at the specific facilities to be evaluated.
- l. Paragraph 80 clarifies the documents and forms required to compile the ACSEP evaluation report.
- m. Paragraph 81 recommends quality review of the ACSEP evaluation report by each directorate.
- n. Paragraph 82 specifies that a copy of the entire ACSEP evaluation report, with the exception of the objective evidence, will be sent to the Production & Airworthiness Certification Division, AIR-200.
- o. Appendixes 7, 8, and 9 describe the use of FAA Form 8100-7, ACSEP Evaluation Customer Feedback Report.

p. Appendix 8 describes the process for preparing notification letters to a satellite Manufacturer's Maintenance Facilities under surveillance hand-off procedures.

q. Appendix 14 modifies a number of evaluation criteria by more accurately reflecting the language of the applicable CFR requirements.

r. Appendixes 17 and 18 delete the rating requirement for the system elements and replace it with a survey.

5. DEFINITIONS AND ACRONYMS. The following definitions apply to the conduct and administration of ACSEP. Acronyms are listed in appendix 1.

a. Assigned engineer. An FAA engineer to whom the Aircraft Certification Office (ACO) manager has assigned responsibility relating to an ACSEP evaluation at a particular design approval facility. In the case of a delegated facility, the assigned engineer may be the engineer that is assigned oversight responsibility for the delegated facility.

b. Associate facility. A facility that has been approved as an extension to an original (PAH). The facility is owned and operated by the same corporate management as the original PAH that controls the design and quality of the product/part thereof, except for companies participating in joint-production and/or co-production business agreements. The associate facility must be listed as a manufacturing facility on the production certificate (PC) or letter of authorization for other production approvals. For example, Parts Manufacturer Approval (PMA) or Technical Standard Order (TSO) authorization.

b(1). Category 1 product, part, or appliance. A product, part, or appliance whose failure could prevent continued safe flight and landing; resulting consequences could reduce safety margins, degrade performance, or cause loss of capability to conduct certain flight operations.

b(2). Category 2 product, part, or appliance. A product, part, or appliance whose failure would not prevent continued safe flight and landing; resulting consequences may reduce the capability of the aircraft or the ability of the crew to cope with adverse operating conditions or subsequent failures.

b(3). Category 3 product, part, or appliance. A product, part, or appliance whose failure would have no effect on continued safe flight and landing of the aircraft.

c. Delegated facility. A facility that holds a Delegation Option Authorization (DOA), Designated Alteration Station (DAS), or a Special Federal Aviation Regulation (SFAR 36) authorization, and has primary responsibility to control the design approval system in place to produce a safe design in compliance with airworthiness requirements.

d. Established industry practice. A widely-followed method of operating that achieves consistent performance of specific functions. Examples of established industry practices include a calibration recall system, and an internal audit system.

e. Evaluator. An individual the FAA appoints to perform ACSEP evaluations.

f. FAA-approved data. Any data that is specifically approved by the FAA or FAA-delegated representatives, including any other document referenced therein. These data may include, but are not limited to, the following, as appropriate: design drawings, manuals, procedures, and specifications.

g. Facility. A physical location where a PAH, associate facility, delegated facility, or satellite MMF performs all or part of the system element functions relevant to the approval authority granted by the FAA.

h. Finding. A finding is classified as a safety finding or a system finding. A safety finding is a safety-related noncompliance that the responsible PI/AE determines requires immediate action. A system finding, in general, is a noncompliance with an applicable CFR, FAA-approved data, or purchase order that indicates a system deficiency or breakdown.

h(1). Geographic MIDO or CMO. A MIDO or CMO that performs certificate management, of a satellite MMF or associate facility, or surveillance of a supplier located in its geographical area of responsibility based on a request from another MIDO or CMO.

i. Lead evaluation office. A directorate office or branch assigned to coordinate an ACSEP evaluation.

j. Noncompliance. A failure to comply with specified requirements, i.e., applicable CFR, FAA-approved data, or quality requirements from a parent MMF.

k. Non-observance. A failure to comply with self-imposed procedures that are related to, but not required by, the applicable production approval, delegated facility approval, or quality requirements from a parent MMF.

l. Objective evidence. All the means by which any alleged fact tends to be established or disproven. These means must be factual, convincing, relevant, valid, reliable, and complete. Examples of evidence include interview statements, photographs, charts, maps, diagrams, documents, and records. Documents and records include items such as work travelers, inspection documents, FAA-approved drawings, PMA and TSO approval letters, 8130-3 tags, and calibration logs.

m. Observation. An observation is classified as a system observation, an isolated observation, or a CFR observation. A system observation is a non-observance to procedures that are not part of the FAA-approved data, and that indicates a system deficiency or breakdown. An isolated observation is a noncompliance with an applicable CFR, FAA-approved data, or purchase order that does not indicate a system deficiency or breakdown. A CFR observation is a noncompliance of the FAA-approved data with an applicable CFR.

n. Principal evaluator. An FAA-appointed team leader who acts as the sole evaluator for the performance of an ACSEP evaluation at a specific facility.

o. Principal inspector (PI). A manufacturing inspector who has been assigned certificate management responsibility of a particular PAH or associate facility.

p. Procedure. A specific way to perform an activity or function. It is documented, and usually contains the purposes and scope of an activity or function; what is to be done and by whom; when, where, and how the activity or function is to be done; the materials, equipment, and documents to be used; and how the activity or function is to be controlled and recorded.

q. Production approval holder (PAH). The holder of a PC, Approved Production Inspection System (APIS), PMA, or TSO authorization, who has primary responsibility to control the design and quality of a product or part thereof.

r. Requesting MIDO or CMO. An office that requests, satellite MMF or associate facility certificate management, or supplier surveillance from another office having geographic responsibility of the area in which the facility is located.

s. Resource targeting. A method of grouping and categorizing PAH's and associate facilities that provides for effective FAA certificate management resource deployment.

t. Satellite MMF. An MMF under Title 14 CFR part 145, § 145.1(c), that is located within the United States at other than the location of the PAH or "parent" MMF. The original PAH or "parent" MMF controls the satellite MMF.

u. Standardized evaluation criteria. Questions developed for each system element that FAA ACSEP evaluation teams use to plan and document the evaluation. The applicable CFR requirements, appropriate FAA advisory circulars and directives, international standards and specifications, and established industry practices are the basis for these questions. Refer to appendixes 14 and 15.

v. WITHDRAWN—CHG 4

w. System. An activity or function that can affect the maintenance of FAA-approved design, quality data, or the design approval system.

x. System element. A specific activity or function that can affect the maintenance of FAA-approved design or quality data, such as design data control, special manufacturing processes, and airworthiness determination; or, that can affect how a design approval system at a delegated facility provides a product in compliance with airworthiness requirements; or, that may affect the delegation authority and approved procedures. Such activities are subject to evaluation of the adequacy and implementation of approved procedures.

6. REQUESTS FOR INFORMATION. All public requests for information regarding completed ACSEP and non-ACSEP evaluations and related database information will be processed in accordance with the Freedom of Information Act (FOIA). Refer to FAA Order 1200.23, Public Availability of Information.

7. FORMS. All forms used in the performance and administration of ACSEP evaluations are provided by AIR-200 in electronic format.

8. SCOPE. The ACSEP will evaluate holders of a DOA, DAS, and SFAR 36 authorization; it will also evaluate all PC, APIS, PMA, TSO authorization holders, their associate facilities, and satellite MMF's that are assessed as category 1 and 2 facilities in resource targeting groups I through III. See FAA Order 8120.2. PAHs assessed as category 3 facilities, suppliers, and holders of a letter of TSO design approval are not subject to ACSEP. However, an ACSEP at a PAH may be extended by the ACSEP team leader to key suppliers, sub-tier suppliers or processors to verify the PAH is satisfactorily controlling their suppliers. The ACSEP will be implemented by the directorates of the Aircraft Certification Service, and supported by the Aircraft Engineering Division, AIR-100, and the Production and Airworthiness Division, AIR-200.

9. ASSIGNMENT OF ACSEP PROJECT COORDINATOR. Many of the tasks identified in the following chapters for ACO, MIO, and MIDO managers are primarily administrative. A high degree of operational efficiency may be achieved by centralizing many of these tasks in a designated ACSEP project coordinator. Directorate managers should consider whether such an assignment would be beneficial for their organizations. The types of tasks that an ACSEP project coordinator could coordinate are as follows:

- a. Candidate and evaluator appointment and training (refer to chapter 2).
- b. Scheduling and team selection; obtaining additional resources when required (refer to chapter 4).
- c. Quality improvement program (refer to chapter 5).
- d. Dissemination of general ACSEP-related information.

10. INFORMATION CURRENCY. Any deficiencies found, clarifications needed, or improvements to be suggested regarding the content of this order should be forwarded to the Aircraft Certification Service, Automated Systems Branch, AIR-520, Attention: Directives Management Officer, for consideration. Your assistance is welcome. FAA Form 1320-19, Directive Feedback Information, is located on the last page of this order for your convenience. If an interpretation is urgently needed regarding evaluations at delegated facilities, you may call the Delegation and Airworthiness Branch, AIR-140, at 405-954-4103. If an interpretation is urgently needed regarding evaluations at production approval holders, contact the Evaluations and International Programs Branch, AIR-230, at 202-267-8361. You should also use the Directive Feedback Information sheet as a follow-up to any verbal conversation.

11.-12. RESERVED.

b. Team leader. Candidates must meet the following minimum requirements prior to appointment as a team leader (see figure 2-2).

(1) Current appointment as an ACSEP evaluation team member.

(2) Participation in at least three evaluations as an appointed ACSEP evaluation team member. The candidate's immediate supervisor may request reduction of the requirement by providing documented justification to the cognizant appointing official. The responsibility for requesting any reduction of the requirement rests solely with the candidate's immediate supervisor.

(3) Participation of the candidate as an acting evaluation team leader, and demonstration of knowledge and skills acquired during ACSEP team training, in at least three ACSEP evaluations under the direct supervision of an appointed ACSEP evaluation team leader. The candidate's immediate supervisor may request reduction of the requirement by providing documented justification to the cognizant appointing official. The responsibility for requesting any reduction of the requirement rests solely with the immediate supervisor.

NOTE: The candidate's immediate supervisor should schedule the candidate's participation as a team leader-in-training to be completed in as short a time period as possible to maximize the candidate's use and retention of acquired knowledge and experience.

(4) The candidate's immediate supervisor must perform the following activities to evaluate the team leader candidate:

(a) Consideration of candidate's previous experience and education.

(b) Consideration of the product complexity, facility size, and complexity of system elements evaluated in ACSEP evaluations in which the candidate participated.

(c) Discuss candidate's team leadership abilities with team leader(s) for evaluations in which the candidate participated.

(d) Review of ACSEP evaluation reports for evaluations in which the candidate participated.

(e) Review, when necessary, FAA Form(s) 8100-7 for evaluations in which the candidate participated.

(f) Interview with the candidate.

(g) Discuss with the candidate any weaknesses or deficiencies in team leadership abilities identified during the participation phase. Both parties will work to reduce or eliminate these weaknesses or deficiencies through additional training, additional ACSEP evaluations, NASIP/RASIP audits, or other similar activities that will increase the candidate's evaluation readiness.

(5) Based on satisfactory results of the evaluation of the candidate as listed in paragraph 16b(4) above, the candidate's immediate supervisor will recommend appointment of the candidate as a team leader to the cognizant appointing official.

NOTE: In those instances when the cognizant appointing official is also the immediate supervisor of the candidate, the recommendation for appointment will be addressed to the next level of supervision.

c. The candidate's immediate supervisor will document and track the completion of the requirements in paragraphs 16a and 16b for ACSEP candidates under his or her supervision. Upon successful completion of the requirements, and recommendation of the candidate's immediate supervisor, the cognizant appointing official will appoint the candidates as ACSEP evaluation team leaders or team members, and will formally notify all candidates of their appointment in writing. Ensure the appointment document includes the individual's discipline and office identification. Send a copy of the appointment document to AIR-200 for database input.

NOTE: Provide written notification of appointment prior to the evaluator's first scheduled ACSEP evaluation as a team member or team leader.

17. REVIEW OF APPOINTMENT. The cognizant appointing official (1) reviews the participation in ACSEP evaluations by each evaluator under his or her appointment authority, (2) notifies evaluators in writing of decisions not to continue their appointment, (3) provides a copy to AIR-200 for database input, and (4) determines the currency and continued validity of appointments as follows:

a. Evaluation team members. Review evaluation team members' participation annually. Ensure team members have accomplished the following requirements, as a minimum:

(1) Participated, at an interval of 24 months or less, as an ACSEP evaluation team member, team leader or conducted PI/DO audits in accordance with FAA Order 8120.2.

NOTE: A supplier control audit does not count towards the continued appointment of an ACSEP team member.

(2) Demonstrated knowledge and skill in ACSEP evaluations, as determined from sources such as the ACSEP evaluation report, team leaders, cognizant managers, and satisfactory corrective action for any shortcomings in knowledge or skills noted and discussed with the team member during the interim period.

b. Evaluation team leaders. Review evaluation team leaders' participation annually. Ensure team leaders have accomplished the following requirements, as a minimum:

(1) Participated, at an interval of 12 months or less, as an ACSEP evaluation team leader or as a team leader for a PI/DO audit with multiple team members in accordance with FAA Order 8120.2.

NOTE: A supplier control audit does not count towards the continued appointment of an ACSEP team leader.

(2) Demonstrated knowledge and skill in ACSEP evaluations, as determined from sources such as the ACSEP evaluation report, cognizant managers, and satisfactory corrective action for any shortcomings in knowledge or skills noted and discussed with the team leader during the interim period.

18. REINSTATEMENT OF EVALUATORS FAILING TO MEET APPOINTMENT REVIEW CRITERIA. Cognizant appointing officials may reinstate evaluators under their appointment authority who have not met the appointment review criteria listed in paragraph 17 above. Determine eligibility for reinstatement according to the following criteria:

a. Team members and leaders who have not met participation requirements may be reinstated after acceptable participation as an evaluator-in-training, or as acting team leader when applicable, in two ACSEP evaluations.

b. Team leaders who have not demonstrated ACSEP evaluation knowledge or skills may be reinstated as a team member after acceptable participation as an evaluator-in-training in two ACSEP evaluations. Consideration for reinstatement as a team leader must then follow the formal ACSEP team leader appointment program listed in paragraph 16b.

c. Team members who have not demonstrated ACSEP evaluation knowledge or skills may be considered for reinstatement by repeating the formal ACSEP team member appointment program listed in paragraph 16a.

19.-24. RESERVED.

CHAPTER 3.

| 25.-39. WITHDRAWN—CHG 4.

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CHAPTER 4. SELECTION AND SCHEDULING OF ACSEP EVALUATIONS

40. ACSEP EVALUATION INTERVALS. Evaluation intervals for PAH's and associate facilities are identified in FAA Order 8120.2. Delegated facilities will be evaluated at the following intervals:

- a. DOA: every 24 months.
- b. DAS: every 24 months.
- c. SFAR 36: every 36 months.

41. SELECTION OF FACILITIES TO BE EVALUATED. Procedures for selecting PAHs and associate facilities to be evaluated are identified in FAA Order 8120.2. For delegated facilities, the ACO managers, in coordination with MIDO and CMO managers when appropriate, will select delegated facilities to be evaluated for whom they have oversight responsibility. Selection of delegated facilities is based on the applicable evaluation interval listed in paragraph 40 above, and the date of the last ACSEP evaluation.

42. SCHEDULING OF ACSEP EVALUATIONS. After all facilities have been selected for evaluation in accordance with FAA Order 8120.2 or paragraph 41 above, each directorate is responsible for scheduling ACSEP evaluations at the selected facilities. Use the following procedures:

a. Estimate the on-site duration of each evaluation according to the evaluation interval listed in paragraph 40, the quality and/or engineering procedures and processes required to be in place, the number of applicable system elements, when known (see appendixes 14 and 15), the size and physical layout of the facility to be evaluated (single or multiple locations), and product complexity. Allow enough time to achieve confidence that compliance to the applicable CFR and FAA-approved data will be fully evaluated. Use the following list as a guide for estimating, in terms of facility size only, the on-site duration of the evaluation (excluding travel times):

- (1) Small facility with less than 100 total full-time persons: 1 to 5 days on site.
- (2) Medium facility with 100 to 400 total full-time persons: 3 to 5 days on site.

(3) Large facility with 400 to 2000 total full-time persons: 5 to 10 days on site.

(4) Very large facility with more than 2000 total full-time persons: 7 to 15 days on site.

NOTE: When estimating the on site duration, include only those persons who are used to support PAH, satellite MMF, or delegated facility activity.

b. Assign all scheduled evaluations a distinct ACSEP number, consisting of the fiscal year, directorate code (NE—Engine and Propeller Directorate, CE—Small Airplane Directorate, SW—Rotorcraft Directorate, or NM—Transport Airplane Directorate), and the evaluation order sequence. For example, 00CE123 represents the 123d evaluation planned for completion by the Small Airplane Directorate during FY 2000. Some of the scheduled evaluations will be identified at the Aircraft Certification Service Joint Scheduling Committee meeting as evaluations to be led by AIR-200, in accordance with paragraph 44.

NOTE: Do not reassign ACSEP numbers from canceled evaluations. Each scheduled evaluation must be uniquely identified.

c. Identify the lead office for each evaluation. This office is usually the one that regularly performs certificate management, or has delegation oversight responsibility at the facility to be evaluated. For a delegated facility that is also a PAH, the lead evaluation office is the ACO that has oversight responsibility for the delegated facility. For a satellite MMF or associate facility subject to certificate management under the handoff procedure described in FAA Order 8120.2, the lead evaluation office is the geographic office receiving the handoff. The lead evaluation office is responsible for:

(1) Coordinating the notification letter (see paragraph 45).

(2) Notifying selected evaluators (see paragraph 55).

d. Prepare a one-fiscal year evaluation schedule based upon the facility selection criteria in paragraph 41 above and the duration of each evaluation. Prepare annually no later than July 31.

(1) Prepare the schedule in quarterly increments using the following guidelines:

(a) ACSEP number.

(b) Scheduled start date of each evaluation.

(c) Duration of each evaluation.

(d) Facilities and types of approvals or delegated facilities to be evaluated.

- (e) Resource targeting group assignment, as applicable.
- (f) Product lines or authorized functions at the facilities to be evaluated.
- (g) Number and disciplines of evaluators assigned to each evaluation.
- (h) Additional evaluators required beyond the directorate's resources.
- (i) Number and disciplines of evaluators-in-training and team leaders-in-training.
- (j) Total number of evaluations scheduled by quarter and for the fiscal year.
- (k) Applicable project number(s).

(2) In order to facilitate the merging of directorate schedules into a master schedule, as required by paragraph 44, AIR-200 will provide a common software format to the ACO, MIO, MIDO, and CMO managers for documenting the items listed in paragraph 42d(1).

(3) The ACO, MIO, MIDO, and CMO managers should schedule approval holders and delegated facilities having multiple approvals and/or delegations, such as both a PC and a PMA, or a PMA and a DAS, so as to evaluate all approvals and/or delegations during one evaluation.

(4) When an approval holder or delegated facility has multiple facilities that require significant resources and time to evaluate, the ACO, MIO, MIDO, and CMO managers should consider scheduling the facilities individually.

e. Designate an assigned engineer (AE). Based on the data collected for paragraphs 40 through 42d above, the ACO manager determines the need to assign an FAA engineer (assigned engineer) responsibility relating to a scheduled ACSEP evaluation at a particular design approval facility or delegated facility. In the case of a delegated facility, the AE may be the engineer that is assigned oversight responsibility for the delegated facility. The AE is responsible to answer questions from the evaluators regarding the FAA-approved design, or the design approval system in place at a delegated facility, and coordinate any corrective action required regarding the approved design or the design approval system.

43. SELECTION OF ACSEP EVALUATORS. The ACO, MIO, MIDO, and CMO managers of the directorate that has certificate management, surveillance, or delegation oversight responsibility selects appointed ACSEP evaluators from the directorate to perform each scheduled evaluation. The number and types of evaluators required for each evaluation should be determined according to the following criteria:

a. Number of Evaluators Required. Determine the total number of evaluators required to achieve confidence that compliance to the applicable CFR and FAA-approved data will be fully evaluated.

(1) Estimate the number of evaluators required according to the following minimum criteria:

(a) Resource targeting group assigned or type of delegated facility.

(b) Number and complexity of applicable quality, engineering, flight test, and delegated facility procedures and processes in place.

(c) Number of applicable system elements, when known (see appendixes 14 and 15).

(d) Size and physical layout of the facility to be evaluated (single or multiple locations).

(e) Product or design approval system complexity.

(2) Use the following list as a guide for estimating the number of ACSEP evaluators required. Increase or decrease the number of estimated evaluators shown below, depending on your review of the criteria contained in paragraph 43a(1) above, and your confidence that compliance to the applicable CFR and FAA-approved data will be fully evaluated.

(a) Small facility with less than 100 full-time persons: 1 to 3 evaluators (including team leader).

(b) Medium facility with 100 to 400 total full-time persons: 1 to 5 evaluators (including team leader).

(c) Large facility with 400 to 2000 total full-time persons: team leader plus 5 to 10 evaluators.

(d) Very large facility with over 2000 total full-time persons: team leader plus up to 10 evaluators.

NOTE: When estimating the number evaluators required, include only those full-time persons who are used to support the PAH, satellite MMF, or delegated facility activity.

(3) If it is determined that one evaluator is required, select an appointed team leader to perform the evaluation; this evaluator is referred to as the principal evaluator. If two or more evaluators are selected for an evaluation, they will constitute an ACSEP evaluation team. Select an appointed team leader and the required number of appointed team members.

b. Types of evaluators required. The types of evaluators required should be determined using the criteria identified in paragraph 43a(1)(a) through (e) above, and the following criteria:

(1) Select appointed ACSEP evaluators who have appropriate knowledge of the evaluation criteria identified in appendixes 14 and 15 applicable at the facility to be evaluated and, when appropriate, of the product(s) authorized by the approval; for example, select a propulsion engineer when an engine manufacturer is to be evaluated, and select a flight test pilot when a flight test program is to be evaluated. When making this determination, consider the following:

(a) It is not necessary to select both engineers and inspectors for a small facility that does not have both engineering and manufacturing capabilities.

(b) Select appointed ACSEP evaluators as appropriate to maintain continued appointment in accordance with paragraph 17.

(c) Do not include any appointed evaluators who were previously employed by the facility to be evaluated within 2 years of the scheduled evaluation.

(d) Determine whether evaluators will be made available throughout the duration of the evaluation. Full participation by each evaluator is expected for each evaluation. Any decision to limit participation should be based on the established Aircraft Certification Service priorities. Notify the team leader of any limited participation by evaluators.

(2) For evaluation of a facility for which surveillance has been requested in accordance with FAA Order 8120.2, the geographic MIDO or CMO manager should coordinate with the requesting MIDO or CMO manager(s) to allow the requesting MIDO or CMO the opportunity to provide evaluators.

(3) For evaluations led by AIR-200, the Aircraft Certification Service Joint Scheduling Committee identifies general team compositions during its annual meeting or telephone conference, based on the ACSEP Master Schedule (refer to paragraph 44). The ACO, MIO, MIDO, CMO, and AIR-200 managers select appointed ACSEP evaluators to fill these requirements using the criteria listed in paragraph 43b(1).

c. Selection of principal inspector and AE as team leaders or evaluators. To the greatest extent practicable, the principal inspector (PI) and the AE will not be selected as team leaders on ACSEP evaluations of facilities for which they have certificate management, surveillance or delegation oversight responsibilities. The following guidelines will be used for selection of the PI and/or AE as evaluators:

NOTE: The ACO, MIO, MIDO, and CMO managers, to the greatest extent practicable, will select as evaluators the PI, or assistant PI as appropriate, and/or the AE. The ACO, MIO, MIDO, and CMO managers should assess the logistical and personal burden of selecting the PI and/or AE for all applicable evaluations, and assign the PI and/or AE to those evaluations where the greatest benefit can be obtained.

(1) **One-or two-person evaluation.**

(a) **PAH facility.** Do not select the responsible certificate management PI. Do not select the AE if the AE is the engineer assigned design responsibility for the facility to be evaluated.

(b) **Satellite MMF.** Do not select the responsible certificate management PI.

(c) **Delegated facility.** Do not select the AE if the AE is the engineer assigned oversight responsibility for the delegated facility.

(2) Three- or four-person evaluation.

(a) **PAH facility.** Select as a team member either the responsible certificate management PI or the AE, if the AE is the engineer assigned design responsibility for the facility to be evaluated. If the AE is not assigned design responsibility, both the AE and the responsible certificate management PI may be selected as team members.

(b) **Satellite MMF.** Select as a team member the responsible certificate management PI.

(c) **Delegated facility.** Select the AE as a team member, when practicable.

(3) Five-person or greater evaluation.

(a) **PAH facility.** Select as a team member either the responsible certificate management PI or AE, or both.

(b) **Satellite MMF.** Select as a team member the responsible certificate management PI.

(c) **Delegated facility.** Select the AE as a team member, when practicable.

NOTE: For a facility where certificate management has been requested, the manager of the MIDO or CMO to which the request was made (hereafter referred to as the geographic MIDO or CMO) and the requesting MIDO or CMO manager should agree on whether the geographic PI or the requesting office PI will be selected.

d. Selection of evaluators-in-training and team leaders-in-training.

(1) Determine the number of appointed evaluators required for the ACSEP evaluation before assigning evaluators-in-training. Assign evaluators-in-training only to evaluations for which a team is required. Do not assign evaluators-in-training to a principal evaluator. Evaluators-in-training will supplement appointed evaluators. Do not substitute evaluators-in-training for appointed ACSEP evaluators, or evaluation team leaders-in-training for appointed ACSEP evaluation team leaders.

(2) Do not assign more than two evaluators-in-training or more than one team leader-in-training to any one evaluation. Try to assign each evaluator-in-training or team leader-in-training to different team leaders during the participation phase of the training.

(3) In cases where evaluators-in-training or team leaders-in-training from other directorates or AIR-100/200 are proposed to be used in an evaluation, coordinate with the appointing managers to establish their eligibility.

e. Additional resource requirements. Additional evaluators beyond the directorate's available resources may be required depending on the size of the facility, type and complexity of product, service, or design approval system, and overall evaluation objectives. Each directorate should present these additional resource requirements during the Joint Scheduling Committee meeting as indicated in paragraph 44 below. For resource requirements identified after the Joint Scheduling Committee meeting, the directorate should request additional support from other areas of the Aircraft Certification Service. If these sources of support are not available, the directorate may obtain outside support services to augment directorate resources. Criteria for obtaining support service personnel is included in paragraph 44a(2).

44. AIRCRAFT CERTIFICATION SERVICE JOINT SCHEDULING COMMITTEE. A Joint Scheduling Committee composed of the ACSEP headquarters project manager and an ACO and MIO manager from each directorate will be established. When a directorate has appointed an ACSEP project coordinator, the directorate may assign that coordinator to the committee in place of an ACO and MIO manager. However, the ACSEP coordinator must have the authority to commit resources and adjust schedules as necessary. The ACSEP headquarters project manager is the chairperson of the committee. The committee will coordinate the directorates' annual evaluation schedules into an ACSEP master schedule, coordinate additional resources required, and identify the general team compositions to support evaluations which will be led by AIR-200.

a. After the updated annual evaluation schedule is prepared by each of the directorates, the ACSEP headquarters project manager will convene a meeting or telephone conference of the Joint Scheduling Committee. The committee will accomplish the following tasks:

(1) The committee will identify general team compositions for evaluations to be led by AIR-200 as follows:

(a) Team leader from AIR-200.

(b) Team members from the directorate responsible for the facility to be evaluated will be utilized, to the extent practicable, based on the number of evaluators previously identified on the directorate's evaluation schedule.

(c) When needed, the balance of the team members will be requested from other areas of the Aircraft Certification Service based on the ACSEP master schedule.

(2) After the ACSEP master schedule is coordinated and the AIR-200 led evaluations are staffed, the committee will review any directorate requests for additional evaluation team members required to support their evaluations. The committee will identify available resources from other areas of the Aircraft Certification Service. If these sources of support are not available, the committee may recommend the use of outside support services to augment directorate resources. Support service personnel will be qualified and creditable quality assurance experts and technology specialists, and will meet the criteria for candidate selection specified in paragraph 15. Directorates will obtain any required support service personnel in accordance with budgetary directives. Appendix 6 contains sample contract clauses relating to obtaining support services.

NOTE: The cognizant directorate will complete all necessary administrative measures required for facility access by support service personnel prior to the ACSEP scheduled evaluation. This will include such items as: obtaining any security clearances from the prospective facility if required; ensuring personnel have signed a certificate of nondisclosure for confidentiality of information (see Appendix 6); and ensuring personnel are aware of their limitations (as agreed to between the directorate and the facility to be evaluated) of access and entry to the facility's proprietary or sensitive processes or systems.

(3) The Production & Airworthiness Certification Division, AIR-200, will transcribe all schedules and related decisions into written committee proceedings, and provide one copy to each directorate, and AIR-100.

b. Changes to the Master Schedule. Each directorate shall transmit schedule changes electronically to AIR-200 at least monthly. Evaluations added to the master schedule will be assigned a new ACSEP number in accordance with paragraph 42b above. The Production & Airworthiness Certification Division will maintain the master schedule, monitor scheduled activities and changes thereto, and update the master schedule quarterly.

45. NOTIFICATION OF FACILITIES TO BE EVALUATED. The lead evaluation office identified in accordance with paragraph 42c above will notify facilities' using the sample formats in appendixes 7, 8, or 9. Coordinate with the responsible PI, or the engineer assigned oversight responsibility for a delegated facility, to ensure the letter does not arrive during scheduled shutdown periods or during any other extended periods when the letter may not be acted upon. Attach one copy of all applicable ACSEP advisory material for notifications of first-time ACSEP evaluations. Appendix 12 provides a summary of notification letter requirements. Notify facilities as follows:

a. Production Approval Holder/Associate Facility. The lead evaluation office will:

(1) Prepare the notification letter and send it to the facility to be evaluated no later than 50 days prior to the evaluation.

(2) Provide a copy of the notification letter to the designated evaluation team leader or principal evaluator, the PI, and the AE.

b. Delegated Facility. The lead evaluation office will:

- (1) Prepare the notification letter and send it to the facility to be evaluated no later than 50 days prior to the evaluation.
- (2) Notify the cognizant MIO/MIDO/CMO via an internal FAA memorandum.
- (3) Provide a copy of the notification letter to the designated evaluation team leader or principal evaluator, and the AE.
- (4) For DAS and SFAR 36, send a copy of the notification letter to the FSDO that has certification responsibility for the repair station or operator where the delegated facility resides.

c. Delegated Facility that is also a Production Approval Holder. The lead evaluation office will:

- (1) Prepare the notification letter and send it to the facility to be evaluated no later than 50 days prior to the evaluation.
- (2) Notify the cognizant MIO/MIDO/CMO via an internal FAA memorandum.
- (3) Provide a copy of the notification letter to the designated evaluation team leader or principal evaluator, and the AE.
- (4) For DAS and SFAR 36, send a copy of the notification letter to the FSDO that has certification responsibility for the repair station or operator where the delegated facility resides.

d. Satellite MMF Within Area of Responsibility. The lead evaluation office will:

- (1) Prepare the notification letter and send it to the responsible PAH or associate facility no later than 50 days prior to the evaluation.
- (2) Provide a copy of the notification letter to the designated evaluation team leader or principal evaluator, the PI, and the AE.

e. Satellite MMF Subject to Surveillance Only (Under the hand-off procedure described in FAA Order 8120.2). The lead evaluation office will:

- (1) Prepare the notification letter and send it to the facility to be evaluated no later than 60 days prior to the evaluation.
- (2) Provide a copy of the notification letter to the designated evaluation team leader or principal evaluator, to the requesting MIDO or CMO, and to the PAH for which the hand-off request is applicable no later than 60 days prior to the evaluation.

f. Changes After Notification Letter is Sent. As appropriate, notify the facility, responsible PAH or associate facility, requesting MIDO or CMO, AIR-200, and team leader or principal evaluator of any changes to the evaluation schedule or team composition after the notification letter has been sent.

46. WITHDRAWN—CHG 4.

47. MODIFICATIONS TO SCHEDULED EVALUATIONS. Every effort will be made to maintain established evaluation schedules. However, modifications to the evaluation schedule should be considered under special circumstances. The ACO, MIO and MIDO or CMO managers will jointly reschedule any affected evaluation in coordination with the PI, AE, and the team leader or principal evaluator, and notify AIR-200 of the change in schedule. Special circumstances that may warrant modifications to the evaluation schedule include:

- a. Risk to evaluators' safety.
- b. Change in a facility's production or delegation status from active to inactive.
- c. Involvement of the FAA in a facility's labor-management dispute.
- d. Reduction in the effectiveness of the evaluation.
- e. A non-scheduled ACSEP evaluation is convened that requires scheduled resources (see paragraph 48).

48. NON-SCHEDULED ACSEP EVALUATIONS. The ACO, MIO, MIDO and CMO managers may also conduct non-scheduled ACSEP evaluations when situations warrant, as determined by directorate offices or Washington headquarters. Non-scheduled ACSEP evaluations will be planned, conducted, and reported in accordance with this order to the greatest extent practicable. Appropriate emphasis on planning the evaluation should be provided despite the reduced time that may be available between the decision to conduct the non-scheduled ACSEP evaluation and the actual conduct of the evaluation. Situations which may warrant a non-scheduled ACSEP evaluation would include:

- a. Accidents and incidents.
- b. Deliberate violations.
- c. Repetitive service difficulty reports.
- d. Excessive owner/operator complaints.
- e. Production approval holder's, associate facility's, or delegated facility's refusal/failure to take appropriate corrective action.

f. Production approval holder's, associate facility's, or delegated facility's inability to control suppliers.

g. Renewal of a PAH's or associate facility's production activity after a prolonged period of inactivity.

h. Any other situation as deemed necessary in the interest of safety.

49.-54. RESERVED.

CHAPTER 5. ACSEP EVALUATION PROCEDURES

SECTION 1. ACSEP EVALUATION PREPARATIONS

55. LEAD EVALUATION OFFICE. The lead evaluation office performs the following evaluation preparations, as a minimum:

- a. Notifies, in writing, the selected evaluation team leader and team members, or the principal evaluator, at least 90 days before each directorate evaluation.
- b. Ensures logistical support for an evaluation within the geographical area.
- c. Coordinates any assistance that the principal evaluator or the evaluation team may require during evaluation of a facility located in another country.

56. ACO, MIO, MIDO, and CMO MANAGERS. Notify in writing all evaluators within the directorate selected for AIR-200-led evaluations and evaluations in support of other directorates. Send notification at least 90 days before each evaluation. Send a copy of the notification to the lead evaluation office and AIR-200.

57. EVALUATION TEAM LEADER/PRINCIPAL EVALUATOR. The team leader, or principal evaluator, coordinates evaluation preparation. The team leader provides orientation to team members, and assigns system elements to team members. These actions, as appropriate, require coordination with the PI, AE, and the facility to be evaluated. The team leader, or principal evaluator, will, as appropriate:

a. Upon receipt of a copy of the notification letter, contact the lead evaluation office to identify the responsible PI and AE and obtain from the PI and AE such items as:

(1) Applicable FAA-approved procedures, including engineering and quality manuals, procedures manuals, and handbooks, when practical; or, applicable quality requirements from a parent MMF. Obtain documentation in electronic format, if available, to simplify copying and distribution to team members. If applicable data is only available electronically, work with the PI or AE to identify relevant documents and to obtain printed copies of only those pages necessary to support the ACSEP evaluation.

(2) Current FAA Form 8120-2, Production Project Control.

(3) Known or suspected problem areas, including any areas the PI and AE would like special emphasis on during the evaluation. This includes any requests to conduct a product audit in accordance with FAA Order 8120.2.

(4) Current self-disclosure items reported under FAA Order 2150.3, Compliance/Enforcement Bulletin No. 92-2, that are in process of corrective action.

(5) Agreements made between the cognizant ACO, MIO, MIDO, or CMO and the facility to be evaluated.

(6) Facility access information, including badges and security clearances.

(7) Lodging information.

(8) Any other items necessary to prepare for the evaluation.

b. Prepare a written evaluation plan for conducting the evaluation. The evaluation plan includes the following items:

(1) Name and address of facility to be evaluated.

(2) Dates of evaluation.

(3) Names of team leader and members (when more than one evaluator is selected).

(4) Evaluation Objectives. List the reason for the ACSEP evaluation, and what information is expected to be obtained during the evaluation (for example, establish facility compliance with the procedures established to meet the requirements of the applicable CFR; or, establish cause of repetitive service difficulty reports).

(5) Type(s) of approval.

(6) Type certificate (TC) or supplemental type certificate (STC) number, when applicable.

(7) Current product line.

(8) Number of employees associated directly with the production approval or delegated facility activity.

(9) List of top-level FAA-approved procedures (for example, quality manual index of procedures, procedures manual, PMA approval letter, and TC data sheets) and/or quality requirements from a parent MMF.

SECTION 2. CONDUCT OF THE EVALUATION

65. TEAM LEADER/PRINCIPAL EVALUATOR COORDINATION WITH FACILITY REPRESENTATIVE. The team leader, or principal evaluator, will coordinate with the designated representative of the facility to be evaluated to ensure that administrative arrangements for items such as team access, escorts, meeting rooms, and safety and security requirements are complete.

66. PRE-EVALUATION TEAM MEETING. The team leader and all team members meet in advance of starting the evaluation, usually at the facility to be evaluated. They review the following evaluation elements, as appropriate, for proper coordination and understanding:

a. Current quality system or design approval system, and corrective action history of the facility to be evaluated in the selected areas.

b. Team functional assignments.

c. Evaluation plan.

d. Evaluation objectives.

e. Working relationship of the facility to be evaluated with the FAA.

f. Organizational structure of the facility to be evaluated.

g. Approved quality system documents, including any quality manual or quality data submitted by APIS or PMA holders to describe their inspection systems.

h. Approved design approval system documents, including any procedures manual or handbook.

i. Agreements made between the cognizant ACO, MIO, MIDO, or CMO and the facility to be evaluated.

67. PRE-EVALUATION CONFERENCE. Soon after arrival at the facility to be evaluated, the evaluation team leader or principal evaluator conducts a pre-evaluation conference with appropriate senior management (which would include a representative from the PAH or associate facility for evaluation of a satellite MMF), cognizant supervisory personnel, and other appropriate personnel of the facility who will be associated with the evaluation, including escorts. The team leader, or principal evaluator, shall, as appropriate:

a. Introduce team members, and support service personnel when applicable.

b. Give a brief overview of ACSEP, highlighting the cooperative intention of the evaluation.

c. Provide the evaluation's scope and objectives.

d. Review details of the evaluation agenda, including the standardized evaluation criteria and procedures to be used.

e. Review administrative arrangements for the post-evaluation conference.

f. Discuss FAA Form 8100–7, ACSEP Evaluation Customer Feedback Report, sent with the notification letter to the facility being evaluated. Explain that this form is designed to obtain senior management assessment of the conduct of the ACSEP evaluation, and is used by the FAA as part of the ACSEP continuous quality improvement process. Encourage senior management to complete the form and send it to the address on the form within 30 days of the post-evaluation conference.

g. Allow time for a question and answer session.

68. EVALUATION OF SYSTEM ELEMENTS. THE ACSEP EVALUATION TEAM EVALUATES UP TO 17 SYSTEM ELEMENTS AND CONDUCTS AT LEAST ONE PRODUCT AUDIT AT PAHs, ASSOCIATE FACILITIES, AND SATELLITE MMFs. They will evaluate up to 10 system elements at delegated facilities. Each system element addresses a specific activity or function that can affect the maintenance of FAA-approved design or quality data, or the design approval system in place at a delegated facility. Each system element is defined in appendixes 14 and 15. The ACSEP evaluation team will, as appropriate:

a. Review FAA-approved quality systems manuals or procedures manuals/handbooks to determine if current data ensures regulatory requirements are met, that conforming product and parts are manufactured, and that design approval systems are maintained and controlled.

b. Review design system, design approval system, and quality system data to determine if current data is FAA-approved.

c. Review other facility procedures (related to the production approval or delegated facility) that are not part of the facility's FAA-approved data to determine if the current procedures impact any of the system elements.

d. Review quality requirements on any satellite MMF from a parent MMF to determine the applicability of the facility procedures and the scope of the system elements to evaluate.

e. Evaluate compliance or observance to facility procedures and requirements, or to quality requirements from a parent MMF. Prioritize evaluation according to any special concerns raised by the PI or AE. Use the standardized evaluation criteria in appendixes 14 and 15 to determine the depth of the evaluation in the subject area. Evaluate to the degree necessary a combination of document and product review to determine that the system element meets or does not meet applicable requirements.

NOTE: The standardized evaluation criteria are a list of questions and related statements of condition in appendixes 14 and 15 used primarily to plan and document the results of the evaluation of each system element in a standardized manner. The criteria are designed to look across all the functional areas within a facility's organization that have the greatest potential to impact the integrity of the FAA-approved design and product quality, and the design approval system in place at a delegated facility. All responses to the questions are direct inputs to the database from which trend analysis will be accomplished. Each evaluator should be knowledgeable of all the criteria applicable to the system element assigned to be evaluated, and strive to evaluate as many of the procedures, requirements, and products related to the criteria as time allows.

f. The team leader will select at least one ASI team member, to conduct at least one product audit at a PAH of a manufactured product (for example, characteristic dimensioning, processing attributes, and physical examination), to determine compliance with current system procedures and quality requirements. Refer to FAA Order 8120.2 for product audit areas, criteria and procedures for recording audit results.

g. Based on facility procedures or quality requirements from a parent MMF, identify and document additional standardized evaluation criteria questions and statement of condition practices and principles not contained in appendixes 14 and 15 that were required to document what was evaluated. Write or type additional criteria and statement of condition practices and principles, and include the appropriate reference to the facility procedures or quality requirements from a parent MMF, and the evaluator's recommendation of the system element to which the criteria and statements of condition apply. Team members will present new criteria and statement of condition practices and principles to the team leader as soon as they are completed.

h. Detect and report nonconformances and areas that may require additional evaluation by the PI or AE.

69. RECORDING FINDINGS AND OBSERVATIONS. Evaluators will record all findings and observations on FAA Form 8100-6, Record of Findings/Observations, or electronic equivalent, according to the guidelines in FAA Order 8120.2.

NOTE 1: Record as a CFR observation any condition, observed as a result of associated evaluation activities, that finds approved data, or data submitted as evidence of compliance to 14 CFR parts 21 and 145, in noncompliance with an applicable CFR. Also address the observation as a special emphasis item in the evaluation report (refer to paragraphs 70b(2)(d) and 80c, and appendix 19).

NOTE 2: When evaluating a facility that is both a delegated facility and a PAH a separate FAA Form 8100-6 should be prepared if the finding or observation affects both the delegated facility and the PAH.

70. EVALUATION MEETINGS.

a. **Daily.** The team leader, or principal evaluator, holds the following meetings daily, as appropriate:

(1) Meeting with evaluation team members. The team leader will review and discuss with team members the following items:

(a) Status of the evaluation.

(b) Problems encountered.

(c) Plan of the next day's evaluation.

(d) All FAA Form(s) 8100-6 prepared during the day to ensure correctness, adequacy, and completeness.

(2) Meeting/communication with PI and AE. The team leader, or principal evaluator ensures the certificate management PI and AE, the delegated facility AE, and the surveillant PI, when applicable, are informed of all discussions concerning the status of the evaluation. This should occur daily when the PI and AE are part of the evaluation team. Otherwise, coordinate with the PI and AE to establish the method and frequency at which these discussions should occur.

(3) Meeting with the evaluated facility's designated representative. The team leader, or principal evaluator holds a brief meeting daily with the evaluated facility's designated representative to discuss the progress of the evaluation, including problems encountered, the status of actions requested by the team, schedule changes, and to coordinate further evaluation activities.

b. Final critique meeting/evaluation wrap-up. At the conclusion of the evaluation, the team leader holds a final critique meeting. The principal evaluator allows time to finalize the details of the evaluation. The team leader and members, or the principal evaluator, do the following, as appropriate:

(1) Team members/principal evaluator.

(a) Complete all required FAA Form(s) 8100-6, or electronic equivalent. When using an electronic equivalent, print to paper when all information has been entered. Team members discuss FAA Form(s) 8100-6 with the team leader to determine if there are any possible violations of the applicable CFR. Any disagreement on any finding will be resolved by the team leader. The lead evaluation office, or requesting MIDO or CMO, when applicable, is responsible to determine the level of corrective action required (see paragraph 83).

(b) Ensure all true copies of objective evidence are attached to the appropriate FAA Form(s) 8100-6, appropriately referenced, and clearly identified in accordance with FAA Order 2150.3, Compliance and Enforcement Program.

(c) Complete FAA Form 8100-4 or FAA Form 8100-8, or electronic equivalent, in accordance with appendix 16 or 17. When using an electronic equivalent, print to paper when all information has been entered. Prepare original forms as follows:

1. Production approval holder, associate facility, or satellite MMF. Prepare one original FAA Form 8100-4.

2. Facility with multiple production approvals. Prepare one original FAA Form 8100-4. Base the survey responses on the criteria for the highest level quality requirement; for the purposes of ACSEP, the quality levels, from highest to lowest, are PC, TSO authorization, APIS, PMA. For example, if a facility has a PMA and a TSO authorization, prepare one FAA Form 8100-4 based on the TSO authorization criteria.

3. Delegated facility. Prepare one original FAA Form 8100-8 for each delegated facility approval. For example, if a facility has a DAS and an SFAR 36 authorization, prepare one FAA Form 8100-8 for the DAS and one FAA Form 8100-8 for the SFAR 36 authorization.

NOTE: A facility may have several of the approvals and authorizations referenced in paragraph 70b(1)(c) above. In general, most combinations will require preparation of original forms for each approval or authorization. For example, if a facility has a PMA and a TSO authorization, and a DAS and SFAR 36 authorization, three forms would be prepared—one FAA Form 8100-4 for the PMA/TSO authorization, one FAA Form 8100-8 for the DAS authorization, and one FAA Form 8100-8 for the SFAR 36 authorization.

(2) Team leader/principal evaluator.

(a) Resolve team disagreements on specific findings.

(b) Discuss all findings with the certificate management PI or AE, delegated facility AE, and the surveillant PI, when applicable.

(c) Prepare the ACSEP Evaluation Executive Summary (see appendix 18). Prepare original forms as follows:

1. Production approval holder, associate facility, or satellite MMF. Prepare one original summary.

2. Facility with multiple production approvals. Prepare one original summary. For example, if a facility has a PMA and a TSO authorization, prepare one original summary.

3. Delegated facility. Prepare one original summary for each delegated facility approval. Include in each summary only those findings and observations applicable to the specific delegated facility approval. For example, if a facility has a DAS and an SFAR 36 authorization, prepare two original summaries—one for the DAS and one for the SFAR 36 authorization.

NOTE: A facility may have several of the approvals and authorizations referenced in paragraph 70b(1)(c) above. In general, most combinations will require preparation of original summaries for each approval or authorization. For example, if a facility has a PMA and a TSO authorization, and a DAS and SFAR 36 authorization, three summaries would be prepared—one for the PMA/TSO authorization, one for the DAS authorization, and one for the SFAR 36 authorization.

(d) Identify and record specific problems or concerns that the ACSEP evaluation team believes require further action and that should be brought to the attention of the ACO, MIO, MIDO or CMO manager, the PI, the AE, and the Flight Standards principal maintenance inspector (when appropriate). Use the instructions in appendix 19 to record these special emphasis items. Prepare original documents as follows:

1. Production approval holder, associate facility, or satellite MMF. Prepare one original document.

2. Facility with multiple production approvals. Prepare one original document.

3. Delegated facility. Prepare one original document for each delegated facility approval.

(e) Discuss with team members, as appropriate, and record, any lessons learned during the ACSEP evaluation which may improve ACSEP policy or evaluation techniques. Use the instructions in appendix 20. Prepare only one original document.

(f) Verify that signed original FAA Form(s) 8100–6 have been prepared for inclusion, when applicable, in each ACSEP evaluation report to be sent to the responsible certificate management MIDO, CMO, or ACO having delegation oversight. See paragraph 80 below. Each report to be sent must include all applicable FAA Form(s) 8100–6. When a signed original FAA Form 8100–6 is applicable to two or more reports, do the following:

1. Reproduce the signed original FAA Form(s) 8100–6 as required for inclusion in the applicable ACSEP evaluation report(s) to be sent to the responsible certificate management MIDO, CMO, or ACO having delegation oversight.

2. Identify all true copies of the signed form in accordance with FAA Order 2150.3.

(g) Provide a copy of the completed final draft FAA Form(s) 8100–6 to the certificate management PI or AE, the delegated facility AE, and the surveillant PI, as applicable, when they are present.

(h) Verify that the required number of true copies of objective evidence have been prepared for inclusion, as applicable, in each ACSEP evaluation report to be sent to the responsible certificate management MIDO, CMO, or ACO having delegation oversight.

(i) Provide all true copies of objective evidence to the certificate management PI or AE, or delegated facility AE, when present. When the PI or AE is not present, forward in accordance with the applicable instructions in paragraphs 82a(1) through 82a(3). If the objective evidence will be necessary as a reference during preparation of the evaluation report, make a separate copy and identify each page as "For Reference Only."

(3) Certificate management PI or AE, delegated facility AE, or surveillant PI (when present). When appropriate, consider providing a copy of the completed final draft FAA Form(s) 8100-6 to the facility's management. Clearly mark each copy as "DRAFT" prior to release.

71. POST-EVALUATION CONFERENCE. The team leader, or principal evaluator, shall conduct a post-evaluation conference with appropriate senior management and cognizant supervisory personnel of the evaluated facility. If the evaluated facility is a satellite MMF, the post-evaluation conference should include any representatives from the parent MMF who may be present at the facility. The team leader, or principal evaluator, shall, as appropriate:

a. Introduce FAA personnel not previously introduced at the pre-evaluation conference.

b. Give a brief presentation of the overall results of the evaluation, using the completed ACSEP Evaluation Executive Summary(s) as a reference.

(1) Provide a copy of each completed ACSEP Evaluation Executive Summary to the evaluated facility's designated representative. When the facility is a satellite MMF, also provide a copy of the applicable completed ACSEP Evaluation Executive Summary to the parent MMF representative.

(2) Summarize all findings first, followed by observations. Do not introduce any new findings not previously discussed with the certificate management PI and AE, the delegated facility AE, the surveillant PI, when applicable, and facility personnel.

c. Explain the purpose and use of the ACSEP database.

d. Explain corrective action and follow-up procedures.

NOTE: Emphasize that the PI or AE may conduct further evaluations of observations contained in the ACSEP evaluation report. Any findings that may result may be included with the letter requesting corrective action for the ACSEP evaluation findings and observations. For an evaluation at a satellite MMF, advise the facility that the results of the evaluation could lead to a finding against the parent MMF.

e. Remind senior management about FAA Form 8100–7 and encourage them to complete the form and send it to the address on the form within 30 days of the post-evaluation conference.

f. Request final comments. Clarify any misunderstandings or disagreements before departure.

g. Adjourn ACSEP evaluation.

72.–79. RESERVED.

SECTION 3. POST-EVALUATION ACTIVITIES

80. PREPARING THE ACSEP EVALUATION REPORT. The team leader, or principal evaluator, shall prepare the ACSEP evaluation report. When a facility has one or more production approvals, prepare one original evaluation report. When a facility has one or more delegated facility authorizations, prepare one original evaluation report for each authorization. When a facility is a satellite MMF, prepare one original evaluation report. For example, if a facility has a PMA and a TSO authorization, prepare one report; if a facility has a PMA, a TSO authorization, and a DAS authorization, prepare two reports—one for the PMA/TSO authorization activity and one for the DAS authorization. Format each original evaluation report as follows, and compile in the order listed:

NOTE: Ensure the evaluation report does not identify any findings or observations not previously presented at the post-evaluation conference.

a. FAA Form 8100–3, or printed copy of electronic equivalent (appendix 21). Each form or printed copy must be an original and signed. Prepare an original form or printed copy for each PAH, satellite MMF, and/or delegated facility affected.

b. Executive Summary, or printed copy of electronic equivalent (appendix 18). Each summary must be an original and signed. Prepare an original summary or printed copy for each PAH, satellite MMF, and/or delegated facility affected.

c. Special Emphasis Items, or printed copy of electronic equivalent (appendix 19). Each listing must be an original. Prepare an original list or printed copy for each PAH, satellite MMF, and/or delegated facility affected.

d. Lessons Learned, or printed copy of electronic equivalent (appendix 20). This listing may be either an original or a copy.

e. FAA Form(s) 8100–4 or 8100–8, or printed copy of electronic equivalent (appendix 16 or 17). Each summary must be an original. Prepare an original form or printed copy for each PAH, satellite MMF, and/or delegated facility affected.

f. FAA Form 8100–6, or printed copy of electronic equivalent. Include signed originals, or true copies of the signed form when identical signed original FAA Form(s) 8100–6 are required for two or more reports. See paragraph 70b(2)(f). Each report must include all applicable FAA Form(s) 8100–6 and any objective evidence. Each copy of the objective evidence must be a true copy of the original documents, identified as indicated in paragraph 70b(1)(b) above. Include true copies for each PAH, satellite MMF, and/or delegated facility affected.

NOTE: Do not include reproductions of true copies of objective evidence in an original evaluation report. Objective evidence must be a true copy signed and dated in accordance with FAA Order 2150.3.

81. QUALITY REVIEW OF THE ACSEP EVALUATION REPORT. The ACSEP Evaluation Report contains the data that forms the basis of corrective action requests (see paragraph 83 below) and the ACSEP national database described in chapter 6 of this order. To this end, the evaluation report must be accurate and complete. Directorate managers shall establish a review process within their directorates that ensures accuracy and completion of the evaluation report prior to distribution. Each directorate shall tabulate the results of their review quarterly and transmit a summary of the errors found to AIR-200 so they may be emphasized during the ACSEP training.

82. SENDING THE ACSEP EVALUATION REPORT. The team leader, or principal evaluator, and the responsible ACO and MIO managers will process the evaluation report as follows (see appendix 22):

a. Team leader/principal evaluator. The team leader, or principal evaluator, shall send the evaluation report as follows:

(1) Production approval holder/associate facility.

(a) Send, or transmit electronically, an original evaluation report to the review point within 15 working days of the post-evaluation conference. The review point shall return the report to the team leader/principal evaluator for correction and/or continued processing within 5 working days of receipt.

(b) Send, or transmit electronically, the original evaluation report to the responsible certificate management MIO manager within 5 working days of receipt of review point comments. Do not send copies of objective evidence to the MIO manager. Send all true copies of any objective evidence to the CM PI.

(c) WITHDRAWN—CHG 4.

(d) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the cognizant ACO manager and to AIR-200. The copy for the ACO manager may be tailored to the requirements of the ACO manager, but will always include copies of any objective evidence that may be required by the ACO manager to investigate identified special emphasis items. Do not send copies of objective evidence to AIR-200.

(e) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the immediate supervisor of any evaluators-in-training assigned to the team.

(2) Delegated facility.

(a) Send, or transmit electronically, an original evaluation report to the review point within 15 working days of the post-evaluation conference. The review point returns the report to the team leader/principal evaluator for correction and/or continued processing within 5 working days of receipt.

(b) Send, or transmit electronically, the original evaluation report to the ACO manager that has oversight responsibility for the delegated facility within 5 working days of receipt of review point comments. Do not send copies of objective evidence to the ACO manager unless no engineer has been assigned. Send all true copies of any objective evidence to the assigned engineer.

(c) WITHDRAWN—CHG 4.

(d) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to AIR-200. Do not include copies of objective evidence to AIR-200.

(e) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the immediate supervisor of any evaluators-in-training assigned to the team.

(f) For DOA and DAS facilities, send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the MIDO or CMO manager that has geographic responsibility for the area in which the DOA or DAS facility is located. The copy for the MIDO or CMO manager may be tailored to the requirements of the MIDO or CMO manager, but will always include copies of any objective evidence that may be required by the MIDO or CMO manager to investigate identified special emphasis items.

(3) Satellite MMF.

(a) Send, or transmit electronically, an original evaluation report to the review point within 15 working days of the post-evaluation conference. The review point returns the report to the team leader/principal evaluator for correction and/or continued processing within 5 working days of receipt.

(b) Send, or transmit electronically, an original evaluation report to the certificate management MIO manager cognizant of the responsible PAH or associate facility within 5 working days of receipt of review point comments. Do not send copies of objective evidence to the MIO manager. Send all true copies of any objective evidence to the CM PI.

(c) WITHDRAWN—CHG 4.

(d) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the cognizant ACO manager, AIR-200, and the surveillant PI when applicable. The copy for the ACO manager may be tailored to the requirements of the ACO manager, but will always include copies of any objective evidence that may be required by the ACO manager to investigate identified special emphasis items. Do not send copies of objective evidence to AIR-200.

(e) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the immediate supervisor of any evaluators-in-training assigned to the team.

b. Certificate management MIO manager. The certificate management MIO manager sends the original evaluation report as follows:

(1) Send, or transmit electronically, the original evaluation report to the certificate management PI within 3 working days of receipt of the report from the ACSEP team leader.

(2) WITHDRAWN—CHG 4.

(3) Include any additional evaluation documents provided by the team leader.

c. Certificate management ACO manager. The certificate management ACO manager shall send the evaluation report copy as follows:

(1) Send, or transmit electronically, the evaluation report copy to the AE within 3 working days of receipt of the report from the ACSEP team leader.

(2) Include all copies of any objective evidence received. When transmitting the report electronically, send the true copies of the objective evidence under separate cover.

NOTE: ACO investigations of special emphasis items that were identified during the conduct of an ACSEP evaluation should be coordinated with the responsible MIDO or CMO.

d. ACO manager with oversight responsibility for the delegated facility. The ACO manager that has oversight responsibility for the delegated facility shall send the original evaluation report as follows:

(1) Send, or transmit electronically, the original evaluation report to the delegated facility AE within three working days of receipt of the report from the ACSEP team leader.

(2) Include all true copies of any objective evidence received. When transmitting the report electronically, send the true copies of the objective evidence under separate cover.

(3) Include any additional evaluation documents provided by the team leader.

e. MIDO or CMO manager with geographic responsibility for a DOA or DAS facility. The manager of the MIDO or CMO that has geographic responsibility for the delegated facility sends the original evaluation report as follows:

(1) Send, or transmit electronically, the evaluation report copy to the responsible PI within 3 working days of receipt of the report from the ACSEP team leader.

(2) WITHDRAWN—CHG 4.

NOTE: MIDO or CMO investigations of special emphasis items that were identified during the conduct of an ACSEP evaluation at a DOA or DAS should be coordinated with the ACO that has oversight responsibility.

f. Delegated facility AE. For DAS and SFAR 36 facilities, send a copy of the evaluation report to the Flight Standards PI that has oversight responsibility for a repair station or operator in which the DAS or SFAR 36 delegation resides.

83. REQUESTING CORRECTIVE ACTION. The PI or delegated facility AE, as applicable, shall request corrective action as follows (see figure 5-1):

a. Prepare a formal letter.

(1) Review of ACSEP evaluation report.

(a) When the evaluation report identifies findings, prepare a letter of investigation (LOI) in accordance with FAA Order 2150.3. Determine whether observations that indicate an isolated incident of noncompliance to an applicable CFR part or section will be included in the LOI. Do not include other types of observations in the LOI.

NOTE: If, during the time when the LOI is being written, the PI or delegated facility AE receives objective evidence from the evaluated facility that justifiably negates the basis of a finding from an ACSEP evaluation, the finding may be omitted from the LOI.

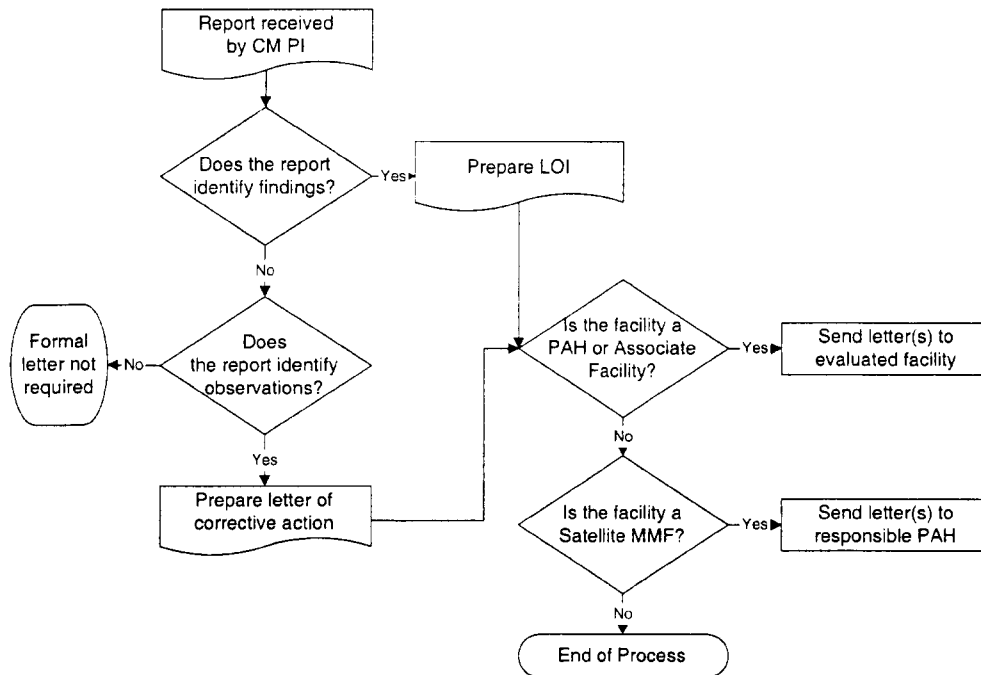
(b) Findings resulting from subsequent PI or AE evaluation of isolated observations contained in the ACSEP evaluation report may be included in the LOI. However, the subsequent evaluation must be completed within the time frame indicated in paragraph 83b below. Findings from evaluations conducted or completed after the time frame indicated should be included in a separate LOI.

(c) Prepare a separate letter identifying observations not included in the LOI that may require corrective action.

b. Send the formal letter to the appropriate PAH, associate facility, or delegated facility listed below within 10 working days of receipt of the evaluation report from the MIO manager or ACO manager with oversight responsibility for a delegated facility.

(1) Production Approval Holder, Associate Facility, or Delegated Facility. Send the formal letter to the evaluated facility.

(2) Satellite MMF. Send the formal letter to the PAH that is the parent MMF.

FIGURE 5-1. PROCESS FOR REQUESTING CORRECTIVE ACTION

84. CORRECTIVE ACTION FOLLOW-UP. The PI or delegated facility AE, as applicable, will follow-up, or re-evaluate, if necessary, to verify that corrective actions proposed by the PAH, associate facility, or delegated facility in response to the formal letter from the PI or delegated facility AE requesting corrective action, have been taken. When any corrective actions are required to be verified at a satellite MMF located outside of the PI's geographical boundary, the verification should be accomplished by using the hand-off procedures in FAA Order 8120.2.

85. OTHER ACTIONS BASED ON ACSEP EVALUATION REPORT. The ACSEP Evaluation Executive Summary, ACSEP Evaluation Lessons Learned, and FAA Form(s) 8100-6 contained in the ACSEP Evaluation Report may be used to assist in decisions regarding future actions with each facility. The following decisions should be considered, as a minimum:

- a. Adjustment to inspections or surveillance.
- b. Adjustment to evaluation frequency.
- c. Emphasis on weaker-rated system elements as identified in the latest ACSEP annual report.

86. ACSEP QUALITY IMPROVEMENT PROGRAM. Each FAA Aircraft Certification Directorate and AIR-100/200 shall establish a program to assess ACSEP evaluations, seek standardization and continuous improvement, counsel team leaders and members, and recommend policy and guidance changes to AIR-100 and AIR-200. Use FAA Form 8100-7 and the ACSEP evaluation reports as the basis for the ACSEP quality improvement program. Send one copy of each FAA Form 8100-7 to AIR-200 for database input.

87. RECORD RETENTION. The certificate management PI or the engineer assigned oversight responsibility for the delegated facility, as applicable, retains those sections of the original evaluation report that support planning for the next scheduled evaluation and any decisions for adjusting inspections or surveillance. As a minimum, the PI or the engineer assigned oversight responsibility for the delegated facility should consider retaining the ACSEP Evaluation Executive Summary and any FAA Form(s) 8100-6. Surveillant MIDO's and CMO's must take similar action with copies of the evaluation report.

a. In all cases keep documents retained for planning purposes until the next scheduled evaluation is complete.

b. Keep documents retained to support adjustment decisions until new adjustment decisions are made and implemented.

88.-94. RESERVED.

CHAPTER 6. ACSEP NATIONAL DATABASE

95. PURPOSE. The ACSEP national database, when fully developed and established, will provide a capability to detect shifts in performance and statistically significant trends for the industry as a whole, and for different segments of the industry. It will also identify trends emerging in the performance of ACSEP evaluations.

96. FILES. The ACSEP national database will contain selected information from all ACSEP evaluations conducted. It will contain selected facility information, records of the findings and observations for each ACSEP evaluation conducted, records of each 8100-4 survey, records of lessons learned, and records of customer feedback reports.

97. DATABASE MANAGEMENT. The Evaluations & International Programs Branch, AIR-230, will manage the ACSEP national database and will, as appropriate:

a. Review the database by:

(1) Examining new entries.

(2) Noting shifting levels of performance in different segments of the industry, including any statistically significant differences in the system elements when compared at all approval holders, associate facilities, and delegated facilities.

(3) Highlighting potential trends emerging in particular aspects of the system elements.

(4) Analyzing trends emerging in particular aspects of the system elements.

(5) Highlighting trends emerging in the performance of ACSEP evaluations.

b. Provide selected data and reports.

NOTE: All report recipients will only use the information internally, and will not issue any reports outside of the FAA Aircraft Certification Service organization. Refer to paragraph 6 of this order.

c. Obtain, as required, outside support services to augment its resources with qualified and creditable experts and specialists to support database management and system analyses, in accordance with budgetary directives and in coordination with AIR-500. Sample contract clauses relating to obtaining support services are contained in appendix 6.

NOTE: The Evaluations & International Programs Branch will complete all necessary FAA administrative measures prior to assignment of support service personnel to database management and system analyses. This will include such items as ensuring personnel have signed a certificate of nondisclosure for confidentiality of information (see appendix 6).

98. USE OF THE DATABASE. Directorates may use the ACSEP national database to obtain reports on findings and observations, frequently used CFR, and industry compliance. They may use the database to detect shifts in performance and statistically significant trends for different segments of the industry. Directorates may also use the database to assist in scheduling.

99.–105. RESERVED.

APPENDIX 1. ACRONYMS

AC	advisory circular
ACO	Aircraft Certification Office
ACSEP	Aircraft Certification Systems Evaluation Program
AE	assigned engineer
AFM	airplane flight manual
AFMS	airplane flight manual supplement
AIR	Aircraft Certification Service
AIR-4	International Airworthiness Programs staff
AIR-100	Aircraft Engineering Division
AIR-200	Production & Airworthiness Division
AIR-500	Planning and Program Management Division
APIS	Approved Production Inspection System
CAA	civil aviation authority
CFR	Code of Federal Regulations
CMO	certificate management office
CMU	certificate management unit
DAS	designated alteration station
DOA	delegation option authorization
FAA	Federal Aviation Administration
LOI	letter of investigation
MIDO	manufacturing inspection district office
MIO	manufacturing inspection office
MMF	manufacturer's maintenance facility
MRB	material review board
PAH	production approval holder
PC	production certificate
PI	principal inspector
PLR	production limitation record
PMA	parts manufacturer approval
STC	supplemental type certificate
TC	type certificate
TSO	Technical Standard Order

APPENDIX 12. NOTIFICATION LETTER REQUIREMENTS SUMMARY

1. PURPOSE. This appendix provides a tabular summary of the primary notification letter requirements identified in chapter 4 of this order.

2. DESCRIPTION. Figure 1 provides a summary of notification letter requirements for which the lead evaluation office is responsible according to facility type. It identifies the type of notification activity required and when the notification activity should be accomplished.

FIGURE 1. NOTIFICATION LETTER REQUIREMENTS SUMMARY

FACILITY TO BE EVALUATED	NOTIFICATION ACTIVITY	TIME TABLE (days prior to evaluation)
<ul style="list-style-type: none"> ♦ PAH ♦ Associate Facility <p><i>(Within area of responsibility)</i> Reference paragraph 45a</p>	<ul style="list-style-type: none"> ❶ Letter to facility 	50 days
	<ul style="list-style-type: none"> ❷ Copy to designated team leader or principal evaluator 	50 days
	<ul style="list-style-type: none"> ❸ Copy to PI/AE 	50 days
<ul style="list-style-type: none"> ♦ Delegated Facility ♦ Delegated facility that is also a PAH <p>Reference paragraphs 45b and 45c</p>	<ul style="list-style-type: none"> ❶ Letter to facility 	50 days
	<ul style="list-style-type: none"> ❷ Memo to cognizant MIO/MIDO 	50 days
	<ul style="list-style-type: none"> ❸ Copy to designated team leader or principal evaluator 	50 days
	<ul style="list-style-type: none"> ❹ Copy to PI/AE 	50 days

APPENDIX 12. NOTIFICATION LETTER REQUIREMENTS SUMMARY (CONT'D)

FIGURE 1. NOTIFICATION LETTER REQUIREMENTS SUMMARY (CONT'D)

FACILITY TO BE EVALUATED	NOTIFICATION ACTIVITY	TIME TABLE (days prior to evaluation)
<i>(Continued)</i> ◆ Delegated Facility ◆ Delegated facility that is also a PAH Reference paragraphs 45b and 45c	⑤ Copy to the FSDO that has certification responsibility for the repair station or operator where the delegated facility resides (DOA/SFAR 36 only)	50 days
◆ Satellite MMF <i>(Within area of responsibility)</i> Reference paragraph 45d	① Letter to PAH ② Copy to designated team leader or principal evaluator ③ Copy to PI/AE	50 days 50 days 50 days
◆ Satellite MMF <i>(Under hand-off Procedures)</i> Reference paragraph 45e	① Letter to facility ② Copy to designated team leader or principal evaluator ③ Copy to requesting MIDO ④ Copy to PAH responsible for satellite MMF	60 days 60 days 60 days 60 days

10Q11. Are material and parts awaiting certification segregated?Applicability:

	APIS	PC	PMA	TSO
R				
P	X	X	X	X
N				

Statement of Condition

- a. Procedures provide for control, identification, and segregation (where practical) of material and parts awaiting testing or inspection from those already approved.
- b. There is objective evidence of observance to established procedures.

10Q12. Are records of receiving inspection generated and maintained?Applicability:

	APIS	PC	PMA	TSO
R				
P	X	X	X	X
N				

Statement of Condition

- a. Procedures provide for:
- (1) Contents of each record used, including, as a minimum, for the material or product inspected, name, part number, sample size, type and number of inspections made, conformance or nonconformance, number and description of nonconformances found, and action taken.
 - (2) Record legibility, completeness, and accuracy.
 - (3) Requirements that tape files, microfilm, etc., used for record retention exhibit legible data, acceptance stamps and/or signatures, as required.
- b. There is objective evidence of observance to established procedures.

10Q13. Are electronically stored and transmitted technical design and quality data adequately controlled and distributed to suppliers?

Applicability:

	APIS	PC	PMA	TSO
R				
P	X	X	X	X
N				

Statement of Condition

a. Procedures provide for:

- (1) Documentation of release status of electronic documents.
- (2) Only properly released data is available on-line.
- (3) Other documents, such as purchase orders and engineering data, are hyperlinked to reflect changes to the source document.
- (4) Capability determination of in-house and supplier facility to receive and maintain electronic data.

b. There is objective evidence of observance to established procedures.

10C1. Does the evaluated facility make information available to the FAA regarding all delegation of authority to suppliers to make major inspection of any products/parts thereof?

Applicability:

	APIS	PC	PMA	TSO
R		§ 21.143		§ 21.605
P				
N	X		X	

Statement of Condition

a. There is objective evidence that all delegations of authority to suppliers for major inspections of any products/parts are available for review by the FAA. {§ 21.143; § 21.605}

10C2. Does the evaluated facility notify the FAA of all new suppliers located in other countries, and of the receipt of first articles produced by those suppliers?

Applicability:

	APIS	PC	PMA	TSO
R				
P	X	X	X	X
N				

Statement of Condition

a. Procedures provide for notification to the FAA of all new suppliers located in other countries, and of the receipt of first articles produced by those suppliers.

b. There is objective evidence of observance to established procedures

10C3. Does the evaluated facility notify the FAA of suppliers in other countries authorized to direct ship?

Applicability:

	APIS	PC	PMA	TSO
R				
P	X	X	X	X
N				

Statement of Condition

a. Procedures provide for notification to the cognizant FAA office of each supplier located in another country authorized to direct ship.

b. There is objective evidence of observance to established procedures.

**APPENDIX 16. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-4, ACSEP SURVEY SHEET FOR
PAH's AND ASSOCIATED FACILITIES**

- 1. PURPOSE.** This appendix provides instructions for completing FAA Form 8100-4.
- 2. SPECIFIC GUIDANCE.** Figure 1 shows FAA Form 8100-4. Prepare the form by inserting in:
 - a. ACSEP No./Report No. block.** Insert the ACSEP number and the report number.
 - b. Project No. block.** Insert the project number(s).
 - c. Blocks 1 through 17.** Check the appropriate box for each system element evaluation criteria. Determine the appropriate box to check for each criteria as follows:

(1) Unable to evaluate. Check this box if you were unable to fully evaluate the criteria due to lack of time, inadequate resources, lack of expertise, or other reasons. You may also check either the "No procedures" block or the "Procedures in place" box if that information is known; see paragraphs 2c(3) and 2c(4) below. If you were unable to evaluate an entire system element, record the appropriate reasons as part of the lessons learned (see appendix 20).

(2) Not applicable. Check this box if the criteria or system element was not applicable at the facility being evaluated. Do not check any other box for this criteria.

(3) No procedures. Check the box if the criteria was applicable at the facility being evaluated and there were no procedures in place to address actions relative to the criteria. You may check this block in addition to the "Unable to evaluate" block if it is known that no procedures were in place relative to the criteria.

(4) Procedures in place. Check this box if the criteria was applicable at the facility being evaluated and there were procedures in place relative to the criteria. You may check this block in addition to the "Unable to evaluate" block if it is known that procedures were in place relative to the criteria.

- d. New criteria block.** The system element number and a brief description of the new criteria.

- (1)** List all new criteria developed.

NOTE: Include the complete text of new criteria in the ACSEP Evaluation Lessons Learned section of the ACSEP evaluation report (see appendix 20).

- (2)** Assign a system element number to each new criteria. For example, a new criteria developed for evaluation of the tool and gauge system element would be assigned system element number 7.



ACSEP Survey Sheet


for
Production Approval Holders

ACSEP No./Report No.

Project No. _____

<div> <div>Unable to evaluate</div> <div>Not applicable</div> <div>No procedures</div> <div>Procedures in-place</div> </div>								
1. Organization & Responsibility								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1M1.	Overall policy document			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1M2.	Organizations described			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1M3.	Appropriate staff			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1M4.	FAA designee authority			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1M5.	Policy document review			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1M6.	Policies/procedures availability			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1M7.	TG/PC/ PLR does accurately list products			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1E1.	Engineering/Flight Test organizations described			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1E2.	Engineering Manager identified			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1P1.	Manufacturing organization described			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1P2.	Manufacturing Manager identified			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1P3.	Manufacturing staff qualifications			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1Q1.	Quality organizations described			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1Q2.	Quality Assurance Manager identified			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1Q3.	Quality Assurance staff qualifications			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1Q4.	Quality Manual			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1Q5.	Tags, forms, etc. described			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1Q6.	Record retention schedule			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1Q7.	Record analysis			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1S1.	Service/Product Support organization described			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1S2.	Service/Product Support Manager identified			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1S3.	Service/Product Support staff qualifications			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1C1.	Notification organization described			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1C2.	Notification organization Manager identified			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1C3.	Notification organization staff qualifications			
2. Design Data Control								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E1.	Design change approval			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E2.	Drawing control system			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E3.	Technical data change approval			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E4.	AD incorporation into design			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E5.	Changes to Instructions for Continued Airworthiness			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E6.	Storage of design documents			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E7.	Design/Technical data document control			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E8.	Major/minor design changes			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E9.	Technical data file			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2E10.	Supplemental type design submittal			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2P1.	Manufacturing review of design/technical data changes			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2Q1.	QA review of design/technical data changes			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2S1.	Service/Product Support review of design changes			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2S2.	Distribution of inst. for Continued Airworthiness changes			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2S3.	AD/safety-related design changes to users			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2C1.	Minor design change approval			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2C2.	Major design change approval			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2C3.	Distribution of inst. for Continued Airworthiness approval			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2C4.	Data submittal for TSO minor changes			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2C5.	New TSOA for major design changes			
3. Software Quality Assurance								
A. Airborne Software								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AE1.	Software Configuration Management Plan			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AC2.	Configuration Index Document			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AE3.	Software problem reporting			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AF4.	Recall/purge of obsolete software			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AE5.	Software security			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AE6.	Software Development Environment			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AP1.	Software identification			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AQ1.	Programmed media handling/storage			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3AQ2.	Build and load instructions			
B. Product Acceptance Software								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3BE1.	Software Configuration Management Plan			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3BE2.	Change documentation and approval			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3BE3.	Software problem reporting			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3BE4.	Software security			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3BQ1.	Venification prior to use			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3BQ2.	Build and load instructions			
4. Manufacturing Processes								
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4M1.	Operation within production limitations			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4M2.	Production certificate displayed			

FIGURE 1. SAMPLE FAA FORM 8100-4 (CONT'D)

 U.S. Department of Transportation Federal Aviation Administration	ACSEP Survey Sheet for Production Approval Holders	ACSEP No./Report No. / <hr/> Project No.
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<div style="display: flex; justify-content: space-between; margin-bottom: 5px;"> <div style="transform: rotate(-45deg); font-size: small;">Unable to evaluate</div> <div style="transform: rotate(-45deg); font-size: small;">Not applicable</div> <div style="transform: rotate(-45deg); font-size: small;">No procedures</div> <div style="transform: rotate(-45deg); font-size: small;">Procedures in place</div> </div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> 5. Special Manufacturing Processes </div> <div style="margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 5E1. All special processes in use identified <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 5E2. New/changed process test substantiation <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 5Q1. Equipment available & calibrated <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 5Q2. Required qualifications/approvals <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 5Q3. Accord with process specifications <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 5Q4. Records maintained <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 5Q5. Action on process out of control </div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> 6. Statistical Quality Control (SQC) </div> <div style="margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6E1. Engineering review of SQC techniques <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6P1. Manufacturing review of SQC techniques <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q1. Statistical sampling inspection plans <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q2. Training in sampling techniques <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q3. PRE-control method established <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q4. Training in PRE-control techniques <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q5. SPC method established <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q6. Training in SPC techniques <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q7. SPC control limits/subgroup selection <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q8. Criteria for SPC out of control <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q9. Regular review of SPC charts <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q10. Corrective action <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 6Q11. Additional inspection during corrective action </div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> 7. Tool & Gauge </div> <div> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7E1. Engineering participation in selection <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7P1. Appropriate measuring devices used <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q1. Approval/inspection of tools & gauges <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q2. Instructions for acceptance tooling <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q3. Tool & gauge recall system <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q4. Traceability to national/international standards <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q5. Accuracy of standards <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q6. Calibration & use in acceptable environment <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q7. Accuracy of inspection & test equipment <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q8. Use of personal gauges <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q9. Control of special processing equipment <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q10. Control of NDI Equipment <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q11. Control of production tooling <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q12. Calibration records <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q13. Adjustment of calibration intervals <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q14. Identification of gauges <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q15. Care of tools & gauges <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q16. Inaccurate tools & gauges identified <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q17. Percent of uncertainty for SOT <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q18. Action on product measured by SOT gauge <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7Q19. Tool & gauge rework/ reinspection <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 7S1. Service/Product Support in SOT investigations </div>	<div style="display: flex; justify-content: space-between; margin-bottom: 5px;"> <div style="transform: rotate(-45deg); font-size: small;">Unable to evaluate</div> <div style="transform: rotate(-45deg); font-size: small;">Not applicable</div> <div style="transform: rotate(-45deg); font-size: small;">No procedures</div> <div style="transform: rotate(-45deg); font-size: small;">Procedures in place</div> </div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> 8. Testing </div> <div style="margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8E1. Test procedures/instructions established <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8E2. Control of test procedure/instruction changes <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8E3. Approved flight checkoff form <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8E4. Use of qualified flight test pilots <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8E5. Flight safety program <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8P1. Manufacturing review of test instructions <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8Q1. QA review of test instructions <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8Q2. Engine inlet/test cell foreign object inspection <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8Q3. Records of completed tests <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8Q4. Retest after adjustment/rework <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8Q5. Post-test teardown inspection & retest <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8C1. Approval of flight test procedures <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8C2. Submittal of changes to flight test procedures <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 8C3. Approval of test cell correlation/calibration standard </div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 10px;"> <input type="checkbox"/> <input type="checkbox"/> 9. Nondestructive Inspection (NDI) </div> <div> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9E1. Engineering review of NDI processes <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9E2. Control of NDI processes & changes <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q1. Operator qualification <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q2. Operators performing within authorized limits <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q3. NDI procedures/specifications available & used <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q4. Tanks & solutions checked <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q5. Test pieces/samples available <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q6. Identification of known-defect samples <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q7. Product handling <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q8. Acceptance/rejection criteria provided <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q9. Records of compliance <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q10. Corrective action <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q11. Critical radiographic parameters identified <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q12. Critical ultrasonic parameters identified <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q13. Critical magnetic particle parameters identified <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q14. Critical penetrant parameters identified <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> 9Q15. Critical eddy current parameters identified </div>
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FAA Form 8100-4 (5-02)

FOR OFFICIAL USE ONLY (when filled in)
Public availability to be determined under 5 U.S.C. 552

Page 2 of 3

FIGURE 1. SAMPLE FAA FORM 8100-4 (CONT'D)

 U.S. Department of Transportation Federal Aviation Administration	ACSEP Survey Sheet for Production Approval Holders	ACSEP No./Report No. Project No.
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<div style="text-align: right; margin-bottom: 5px;"> Unable to evaluate Not applicable No procedures Procedures in-place </div> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">10. Supplier Control</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10E1. Control of supplier design and changes</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q1. Initial & periodic evaluations of suppliers</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q2. Use of approved suppliers</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q3. Approval of supplier quality manual</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q4. Control of buyer-furnished material</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q5. Flow down of technical & quality requirements</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q6. Quality Assurance review of purchase documents</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q7. Action on problem notification</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q8. Verification of raw material</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q9. Verification of shelf-life materials</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q10. Receiving inspection</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q11. Segregation of non- certified parts</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q12. Records of receiving inspection</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10Q13. Electronically stored data controlled and distributed</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10C1. Delegation of major inspection authority</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10C2. New suppliers/first articles</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>10C3. Direct shipment</td></tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">11. Nonconforming Material</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11M1. Management review of data</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11E1. Engineering review for major/minor changes</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11Q1. Control of nonconforming products</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11Q2. Permanent identification of scrap material</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11Q3. MRB established and operational</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11Q4. Material review record generated</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11Q5. Reinspection /retest after rework/repair</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11Q6. Corrective action required</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11Q7. Corrective action monitored</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11S1. Nonconformances reported to users</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>11C1. Major changes approved</td></tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">12. Material Handling/Storage</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12E1. Design change for recurrent damage</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12P1. Manufacturing review of handling specifications, etc.</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q1. Prevention of part damage/contamination</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q2. Special environmental controls</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q3. Storage of conforming parts</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q4. Segregation of product in storage</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q5. Identification of age control products</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q6. Incorporation of design changes</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q7. Control of product removal/issuance</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>12Q8. Conforming products packaged & shipped</td></tr> </table>	10. Supplier Control				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10E1. Control of supplier design and changes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q1. Initial & periodic evaluations of suppliers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q2. Use of approved suppliers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q3. Approval of supplier quality manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q4. Control of buyer-furnished material	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q5. Flow down of technical & quality requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q6. Quality Assurance review of purchase documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q7. Action on problem notification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q8. Verification of raw material	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q9. Verification of shelf-life materials	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q10. Receiving inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q11. Segregation of non- certified parts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q12. Records of receiving inspection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10Q13. Electronically stored data controlled and distributed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10C1. Delegation of major inspection authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10C2. New suppliers/first articles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10C3. Direct shipment	11. Nonconforming Material				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11M1. Management review of data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11E1. Engineering review for major/minor changes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11Q1. Control of nonconforming products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11Q2. Permanent identification of scrap material	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11Q3. MRB established and operational	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11Q4. Material review record generated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11Q5. Reinspection /retest after rework/repair	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11Q6. Corrective action required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11Q7. Corrective action monitored	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11S1. Nonconformances reported to users	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11C1. Major changes approved	12. Material Handling/Storage				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12E1. Design change for recurrent damage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12P1. Manufacturing review of handling specifications, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q1. Prevention of part damage/contamination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q2. Special environmental controls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q3. Storage of conforming parts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q4. Segregation of product in storage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q5. Identification of age control products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q6. Incorporation of design changes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q7. Control of product removal/issuance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12Q8. Conforming products packaged & shipped	<div style="text-align: right; margin-bottom: 5px;"> Unable to evaluate Not applicable No procedures Procedures in-place </div> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">13. Airworthiness Determination</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13E1. AD incorporation</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13P1. Aircraft registration</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13P2. Flight manuals, supplements, weight & balance data</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13Q1. Log books</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13Q2. Airworthiness certificates/special flight permits</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13C1. Statements of Conformity</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13C2. Applications for airworthiness certificates</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>13C3. Cancellation of certifications for passed title</td></tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">14. FAA Reporting Requirements</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14S1. Feedback on service problems</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14S2. Record of service difficulties</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14S3. Investigation/corrective action</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14S4. Informing the user</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14S5. Approval of service bulletins</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14C1. Failure reporting</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14C2. Investigation of unairworthy conditions</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14C3. Submittal of quality system data changes</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14C4. Relocation of manufacturing facility</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>14C5. Coordination of service bulletins, etc.</td></tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">15. Internal Audit</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>15M1. Internal auditing program</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>15M2. Feedback to higher-level management</td></tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">16. Global Production</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>16Q1. Interface quality documents</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>16Q2. Control of parts from associated facilities</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>16Q3. Export airworthiness approvals obtained</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>16Q4. Airworthiness approval tags obtained</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>16Q5. Documents to importing country</td></tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="4" style="text-align: center;">17. Manufacturer's Maintenance Facility (MMF)</td> </tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>17Q1. Inspection/maintenance program</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>17Q2. Operation within certificate privileges</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>17Q3. Work in accordance with Part 43 requirements</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>17Q4. Mechanics/repairmen directly in charge</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>17Q5. Record of completed work</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>17Q6. Completion of all requirements</td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td>17Q7. Control of parts from satellite MMFs</td></tr> </table> <div style="margin-top: 10px;"> NEW CRITERIA <table style="width: 100%;"> <tr> <th style="width: 10%;">Criteria</th> <th style="width: 90%;">Description</th> </tr> <tr><td><input type="checkbox"/></td><td></td></tr> <tr><td><input type="checkbox"/></td><td></td></tr> <tr><td><input type="checkbox"/></td><td></td></tr> <tr><td><input type="checkbox"/></td><td></td></tr> </table> </div>	13. Airworthiness Determination				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13E1. AD incorporation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13P1. Aircraft registration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13P2. Flight manuals, supplements, weight & balance data	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13Q1. Log books	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13Q2. Airworthiness certificates/special flight permits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13C1. Statements of Conformity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13C2. Applications for airworthiness certificates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13C3. Cancellation of certifications for passed title	14. FAA Reporting Requirements				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14S1. Feedback on service problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14S2. Record of service difficulties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14S3. Investigation/corrective action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14S4. Informing the user	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14S5. Approval of service bulletins	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14C1. Failure reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14C2. Investigation of unairworthy conditions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14C3. Submittal of quality system data changes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14C4. Relocation of manufacturing facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14C5. Coordination of service bulletins, etc.	15. Internal Audit				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	15M1. Internal auditing program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	15M2. Feedback to higher-level management	16. Global Production				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q1. Interface quality documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q2. Control of parts from associated facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q3. Export airworthiness approvals obtained	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q4. Airworthiness approval tags obtained	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q5. Documents to importing country	17. Manufacturer's Maintenance Facility (MMF)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q1. Inspection/maintenance program	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q2. Operation within certificate privileges	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q3. Work in accordance with Part 43 requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q4. 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15. Internal Audit																																																																																																																																																																																																																																																																																																																																			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	15M1. Internal auditing program																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	15M2. Feedback to higher-level management																																																																																																																																																																																																																																																																																																																																
16. Global Production																																																																																																																																																																																																																																																																																																																																			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q1. Interface quality documents																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q2. Control of parts from associated facilities																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q3. Export airworthiness approvals obtained																																																																																																																																																																																																																																																																																																																																
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<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16Q5. Documents to importing country																																																																																																																																																																																																																																																																																																																																
17. Manufacturer's Maintenance Facility (MMF)																																																																																																																																																																																																																																																																																																																																			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q1. Inspection/maintenance program																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q2. Operation within certificate privileges																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q3. Work in accordance with Part 43 requirements																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q4. Mechanics/repairmen directly in charge																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q5. Record of completed work																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q6. Completion of all requirements																																																																																																																																																																																																																																																																																																																																
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17Q7. Control of parts from satellite MMFs																																																																																																																																																																																																																																																																																																																																
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FAA Form 8100-4 (5-02)

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Page 3 of 3

**APPENDIX 17. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-8, ACSEP SURVEY SHEET FOR
DAS/DOA/SFAR 36 DELEGATED FACILITIES**

- 1. PURPOSE.** This appendix provides instructions for completing FAA Form 8100-8.
- 2. SPECIFIC GUIDANCE.** Figure 1 shows FAA Form 8100-8. Prepare the form by inserting in:
 - a. ACSEP No./Report No. block.** Insert the ACSEP number and the Report number.
 - b. Project No. block.** Insert the type of delegated facility (DAS, DOA, or SFAR 36).
 - c. Blocks 1 through 10.** A check in the appropriate box for each system element evaluation criteria. Determine the appropriate box to check for each criteria as follows:

(1) Unable to evaluate. Check this box if you were unable to fully evaluate the criteria due to lack of time, inadequate resources, lack of expertise, or other reasons. You may also check either the "No procedures" block or the "Procedures in place" box if that information is known; see paragraphs 2c(3) and 2c(4) below. If you were unable to evaluate an entire system element, record the appropriate reasons as part of the lessons learned (see appendix 20).

(2) Not applicable. Check this box if the criteria or system element was not applicable at the facility being evaluated. Do not check any other box for this criteria.

(3) No procedures. Check the box if the criteria was applicable at the facility being evaluated and there were no procedures in place relative to the criteria. You may check this block in addition to the "Unable to evaluate" block if it is known that no procedures were in place relative to the criteria.

(4) Procedures in-place. Check this box if the criteria was applicable at the facility being evaluated and there were procedures in place to address actions relative to the criteria. You may check this block in addition to the "Unable to evaluate" block if it is known that procedures were in place relative to the criteria.


d. New Criteria Block. Insert the system element number and a brief description of the new criteria.

- (1)** List all new criteria developed.

NOTE: Include the complete text of new criteria in the ACSEP Evaluation Lessons Learned section of the ACSEP evaluation report (see appendix 20).

(2) Assign a system element number to each new criteria. For example, a new criteria developed for evaluation of the testing system element would be assigned system element number 5.

FIGURE 1. SAMPLE FAA FORM 8100-8

	ACSEP Survey Sheet for DAS/DOA/SFAR 36 Delegated Facilities	ACSEP No/ Report No: Project No:
U.S. Department of Transportation Federal Aviation Administration		

Unable to evaluate
 Not applicable
 Procedures in-place

☐ ☐ **1. Organization & Responsibility**

- ☐ ☐ ☐ 1D1. Use of FAA-approved Procedure Manual/Handbook
- ☐ ☐ ☐ 1D2. Current Procedure Manual/Handbook
- ☐ ☐ ☐ 1D3. Periodic review of Procedure Manual/Handbook
- ☐ ☐ ☐ 1D4. Operation within approved delegation authority
- ☐ ☐ ☐ 1D5. Limits on the repair, rebuilding, or altering of products
- ☐ ☐ ☐ 1D6. Continues to meet criteria for holding authorization
- ☐ ☐ ☐ 1D7. Use of coordinator as focal point
- ☐ ☐ ☐ 1D8. Coordinator has sufficient authority
- ☐ ☐ ☐ 1D9. Delegation engineering and flight test org. described
- ☐ ☐ ☐ 1D10. Delegation inspection and airworthiness org. described
- ☐ ☐ ☐ 1D11. Procedures, regulations, and policies are made available
- ☐ ☐ ☐ 1D12. List of engineer, flight test, and inspection staff
- ☐ ☐ ☐ 1D13. List of products repaired or modified
- ☐ ☐ ☐ 1D14. Current list of certificates held
- ☐ ☐ ☐ 1D15. Qualifications of delegated facility staff
- ☐ ☐ ☐ 1D16. Training of delegated facility staff
- ☐ ☐ ☐ 1D17. Attendance at FAA Standardization Workshops
- ☐ ☐ ☐ 1D18. Tags, forms, etc., described/controlled
- ☐ ☐ ☐ 1D19. Records retention
- ☐ ☐ ☐ 1D20. Flight safety program

Unable to evaluate
 Not applicable
 Procedures in-place

☐ ☐ **2. Project Management**

- ☐ ☐ ☐ 2D1. Certification basis established
- ☐ ☐ ☐ 2D2. Use of latest airworthiness standards
- ☐ ☐ ☐ 2D3. Determination of project significance
- ☐ ☐ ☐ 2D4. Coordination of certification basis with FAA
- ☐ ☐ ☐ 2D5. Review of Letter of Intent by delegation staff
- ☐ ☐ ☐ 2D6. Submittal of Letter of Intent to FAA
- ☐ ☐ ☐ 2D7. FAA response to Letter of Intent
- ☐ ☐ ☐ 2D8. FAA concurrence on equivalent safety provisions
- ☐ ☐ ☐ 2D9. AD's effect on change in type design
- ☐ ☐ ☐ 2D10. Coordination of project milestones/requirements
- ☐ ☐ ☐ 2D11. Ident. of technical, regulatory, and administrative issues
- ☐ ☐ ☐ 2D12. Management promotion of staff communication
- ☐ ☐ ☐ 2D13. Coordination between technical disciplines
- ☐ ☐ ☐ 2D14. Identification/approval of certification tests
- ☐ ☐ ☐ 2D15. Conformity, inspection, and test authorization
- ☐ ☐ ☐ 2D16. Inspections conducted by authorized staff members
- ☐ ☐ ☐ 2D17. Conformity inspections conducted prior to testing
- ☐ ☐ ☐ 2D18. Engineering disposition of nonconforming products/parts
- ☐ ☐ ☐ 2D19. FAA-requested participation
- ☐ ☐ ☐ 2D20. Approval/control of AFM/AFMS
- ☐ ☐ ☐ 2D21. TIR/STIR to document conformity, inspection, and tests
- ☐ ☐ ☐ 2D22. TC/STC amendment projects identified
- ☐ ☐ ☐ 2D23. DAS/DOA Coordinator concurrence with staff
- ☐ ☐ ☐ 2D24. Verification of type certificate issuance
- ☐ ☐ ☐ 2D25. Proper completion of STC certificates
- ☐ ☐ ☐ 2D26. Certification summary report
- ☐ ☐ ☐ 2D27. Documentation/approval of type design data

☐ ☐ **3. Design Data Approval**

- ☐ ☐ ☐ 3D1. Control of type design data
- ☐ ☐ ☐ 3D2. Use of approved documents and forms
- ☐ ☐ ☐ 3D3. Classification of data being approved
- ☐ ☐ ☐ 3D4. Drawing control system
- ☐ ☐ ☐ 3D5. Technical/repair data is approved
- ☐ ☐ ☐ 3D6. Software Configuration Mgmt. Plan
- ☐ ☐ ☐ 3D7. Software criticality assessment
- ☐ ☐ ☐ 3D8. Configuration Index Document
- ☐ ☐ ☐ 3D9. Software problem reporting
- ☐ ☐ ☐ 3D10. Software security
- ☐ ☐ ☐ 3D11. Software development environment
- ☐ ☐ ☐ 3D12. Software media handling/storage

FAA Form 8100-8 (4-99)

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Page 1 of 2

**APPENDIX 18. PREPARATION INSTRUCTIONS FOR
FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION
SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY**

- 1. PURPOSE.** This appendix provides instructions for preparing the Federal Aviation Administration Aircraft Certification Systems Evaluation Program (ACSEP) Executive Summary. This summary provides the status of each system element evaluated and a narrative of applicable findings and observations. The completed summary will be the only record of findings and observations provided to the evaluated facility by the team leader at the post-evaluation conference.
- 2. SPECIFIC GUIDANCE.** Figures 1 through 3 show sample executive summaries with numbered blocks. Prepare the summary as follows:
- a. Block 1.** Insert the ACSEP number/report number.
 - b. Block 2.** Insert the project number(s) assigned to the production approval activity being evaluated. For a delegated facility, enter the type of delegated facility, i.e., DAS, DOA, or SFAR 36.
 - c. Block 3.** Insert the name of the facility that was evaluated.
 - d. Block 4.** Insert the date(s) of the evaluation.
 - e. Block 5.** Insert brief statements outlining the findings and/or observations for each of the applicable system elements. Format the summary as follows:
 - (1) State the total number of findings and observations identified for the entire evaluation. If there were none, so state.
 - (2) Discuss only those system elements that have findings and/or observations recorded. Do not list system elements that have no findings or observations recorded.
 - (a) State the number of findings and observations identified for each system element discussed.
 - (b) Summarize the findings and observations for each system element discussed. Summarize the findings first, and then the observations.
 - f. Block 6.** The team leader must sign in this block. This block may be signed by a team leader-in-training, but must also be countersigned by the team leader. When an electronic version of the executive summary is used, ensure that all required names are typed in.
 - g. Block 7.** Insert the date of the post-evaluation conference.
 - h. Block 8.** Insert the appropriate marking in accordance with paragraph 9 of FAA Order 1600.15, Control and Protection of "For Official Use Only" Information.

**APPENDIX 18. PREPARATION INSTRUCTIONS FOR
FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION
SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY (CONT'D)**

**FIGURE 1. SAMPLE EXECUTIVE SUMMARY FOR PAH's, ASSOCIATE FACILITIES, AND
SATELLITE MMF'S**

FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY	
(1) ACSEP NO./REPORT NO. 98NE278/1-1	(2) PROJECT NO. PA9999NE
(3) FACILITY: Cape Cod Aircraft Engine Co.	
(4) DATE OF EVALUATION: August 6-15, 1998	
(5) <u>SYSTEM ELEMENT FINDINGS/OBSERVATIONS</u>	
During this evaluation, the team documented 8 findings and 3 observations.	
<u>Design Data Control System Element.</u> Four findings were recorded for this system element. One finding was recorded for a breakdown in the approved procedure for determining major or minor design changes. A second finding was recorded for a breakdown in the approved procedure for processing minor design changes. Two additional findings were also recorded for a breakdown in the approved procedures for submitting major design changes and process specification changes to the FAA.	
<u>Software Quality Assurance System Element.</u> One observation was recorded for this system element. It was recorded for an isolated incident of obsolete software media not being properly controlled.	
<u>Manufacturing Processes System Element.</u> One finding and one observation were recorded for this system element. A finding was recorded for a breakdown in the job order manufacturing sequence for the main housing, part numbers 123-666, and 123-667. An observation was recorded for an isolated incident of changes to work instructions not being properly controlled.	
<u>Special Manufacturing Processes System Element.</u> One observation was recorded for this system element. It was recorded for an isolated incident of a change to a special process not being properly controlled.	
<u>Supplier Control System Element.</u> One finding was recorded for this system element. It was recorded for a breakdown in the approved procedure to make information available to the FAA regarding all delegation of authority to suppliers to make major inspection of any products/parts thereof.	
<u>Nonconforming Material System Element.</u> One finding was recorded for this system element. It was recorded for a breakdown in the approved procedure to control nonconformances which are considered major changes to the type design.	
<u>Material Handling/Storage System Element.</u> One finding was recorded for this system element. It was recorded for a breakdown in the approved procedures for handling parts sensitive to electrostatic discharge.	
(6) J.J. Gem	(7) August 15, 1998
(8) FOR OFFICIAL USE ONLY Public availability to be determined under 5 U.S.C. 552	

APPENDIX 18. PREPARATION INSTRUCTIONS FOR FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY (CONT'D)

FIGURE 2. SAMPLE EXECUTIVE SUMMARY FOR DELEGATED FACILITIES

FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY	
(1) ACSEP NO./REPORT NO. 98SW333 /1-1	(2) PROJECT NO. DAS
(3) FACILITY: Metal Components Inc.	
(4) DATE OF EVALUATION: April 3-5, 1998	
<u>SYSTEM ELEMENT FINDINGS/OBSERVATIONS</u>	
(5) During this evaluation, the team documented 4 findings and 4 observations.	
<p><u>PROJECT MANAGEMENT:</u> One finding and one observation were recorded in this system element. The finding was recorded for a system breakdown in the failure to obtain FAA concurrence on an equivalent safety issue prior to issuance of Supplemental Type Certificate number ST0086XX-D. The observation was recorded for an isolated incident of a certification summary report that was improperly filled out.</p> <p><u>DESIGN DATA APPROVAL:</u> There were 2 findings recorded in this system element. One finding was recorded for a system breakdown in the failure to provide adequate security (i.e., limited access) for the DAS/FAA approved type data files. The second finding was recorded for a system breakdown in the failure to follow procedures which require special handling of software media.</p> <p><u>TESTING:</u> One finding was recorded in this system element. The finding was recorded for a system breakdown in the use of non-DAS personnel to witness and approve required certification tests.</p> <p><u>CONTINUED AIRWORTHINESS:</u> There were 2 observations recorded in this system element. One observation was recorded for an isolated incident of a reported service problem that was not properly documented. The second, a CFR-based observation, was documented against the FAA-approved DAS Procedures Manual for a Failure Reporting procedure that is inconsistent with CFR § 21.3 (i.e., 72 hours versus the required 24 hours for FAA notification).</p> <p><u>AUDIT:</u> One observation was recorded in this system element. The observation was recorded for an isolated incident of a failure to accomplish required follow-up on an internal audit report that was identified as "corrective action required."</p>	
(6) Q. C. Record	(7) April 5, 1998
(8) FOR OFFICIAL USE ONLY Public availability to be determined under 5 U.S.C. 552	

**APPENDIX 18. PREPARATION INSTRUCTIONS FOR
FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION
SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY (CONT'D)**

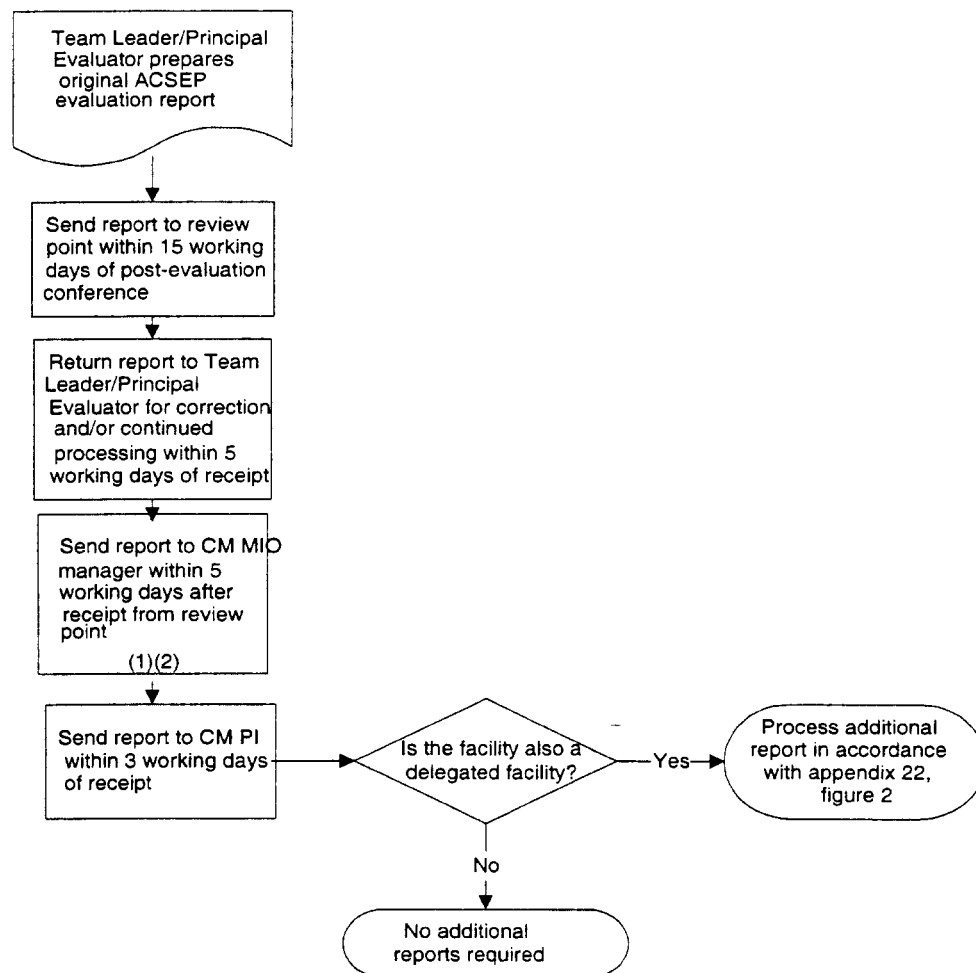
**FIGURE 3. SAMPLE EXECUTIVE SUMMARY FOR FACILITIES WITH NO FINDINGS or
OBSERVATIONS**

FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY	
(1) ACSEP NO./REPORT NO. 01SW334/1-1	(2) PROJECT NO. PP0000SW
(3) FACILITY: Excellent Metal Components Inc.	
(4) DATE OF EVALUATION: April 1, 2001	
<u>SYSTEM ELEMENT FINDINGS/OBSERVATIONS</u>	
(5) During this evaluation, the team documented no findings or observations.	
(6) J.M. Tired	(7) April 1, 2001
(8) FOR OFFICIAL USE ONLY Public availability to be determined under 5 U.S.C. 552	

APPENDIX 22. PROCESS FOR SENDING ACSEP EVALUATION REPORTS

1. PURPOSE. This appendix provides several flowcharts to assist the team leader, principal evaluator, MIO manager, and ACO manager in identifying where a completed ACSEP evaluation report is required to be sent. It supplements the description provided in chapter 5, section 3, of this order.

2. DESCRIPTION. Figures 1 through 3 provide flowcharts to identify where a completed ACSEP evaluation report is required to be sent for the various facility types encountered during the ACSEP evaluation.

FIGURE 1. PRODUCTION APPROVAL HOLDERS AND ASSOCIATE FACILITIES**Legend**

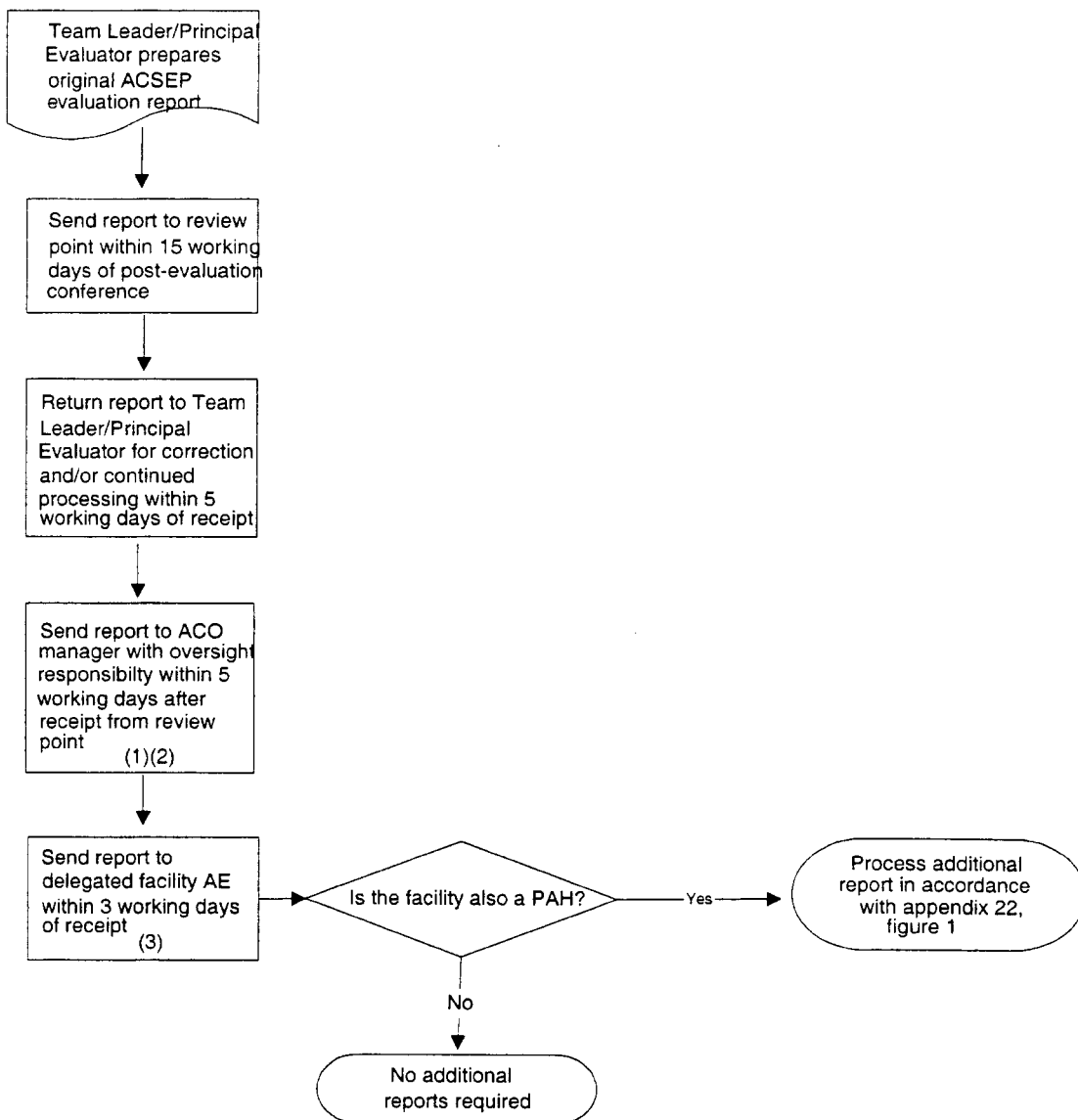
CM = Certificate Management

(1) = Copy to CM ACO Manager for forwarding to CM AE

(2) = Copy to AIR-200

APPENDIX 22. PROCESS FOR SENDING ACSEP EVALUATION REPORTS (CONT'D)

FIGURE 2. DELEGATED FACILITIES



Legend

- (1) = Copy to CM MIDO or CMO Manager for forwarding to CM PI (DOA/DAS only)
- (2) = Copy to AIR-200
- (3) = Copy to Flight Standards PI with oversight responsibility for applicable repair station or operator (DAS/SFAR 36 only)

APPENDIX 22. PROCESS FOR SENDING ACSEP EVALUATION REPORTS (CONT'D)**FIGURE 3. SATELLITE MMF'S**